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ABSTRACT

This hearing, the ninth in a series discussing issues related to the reauthorization of the Higher Education Act, focuses on three programs: Aid for Institutional Development, or Title III; the National Early Intervention Scholarship and Partnership Program; and the TRIO programs, which provide support services and scholarships for students, as well as institutional aid to colleges and universities and are intended to assist low-income, first-generation college students. The following witnesses made statements: (1) Moses Griffin, Wilberforce University (Ohio), who suggested that common evaluation criteria are inadequate for judging program effectiveness at historically black colleges and universities; (2) R. Vic Morgan, Sul Ross State University (Texas); who discussed the role of Title III at Hispanic-serving institutions; (3) Linda Shiller, speaking on behalf of the National Early Intervention Scholarship and Partnership Program, who discussed the programs of the Vermont Student Assistance Program; and (4) Ann Coles, who spoke on behalf of the National Council of Educational Opportunity Associations, and noted that over 2 million TRIO program participants had graduated from colleges over the past 30 years. Additional materials from the Hispanic Association of Colleges and Universities are appended. (CH)

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S. HRG. 105–117

OPPORTUNITY PROGRAMS: OPENING THE DOORS TO HIGHER EDUCATION

ED 411 756

HEARING

OF THE

COMMITTEE ON LABOR AND HUMAN RESOURCES UNITED STATES SENATE

ONE HUNDRED FIFTH CONGRESS

FIRST SESSION

ON

EXAMINING PROPOSED LEGISLATION AUTHORIZING FUNDS FOR PROGRAMS OF THE HIGHER EDUCATION ACT, FOCUSING ON THOSE PROGRAMS WHICH PROVIDE SUPPORT SERVICES AND SCHOLARSHIPS FOR DISADVANTAGED STUDENTS, INCLUDING INSTITUTIONAL AID TO COLLEGES AND UNIVERSITIES

JUNE 12, 1997

Printed for the use of the Committee on Labor and Human Resources

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OPPORTUNITY PROGRAMS: OPENING THE DOORS TO HIGHER EDUCATION

THURSDAY, JUNE 12, 1997

U.S. SENATE,
COMMITTEE ON LABOR AND HUMAN RESOURCES,
Washington, DC.

The committee met, pursuant to notice, at 10:01 a.m., in room SD–430, Dirksen Senate Office Building, Senator James M. Jeffords (chairman of the committee) presiding.

Present: Senators Jeffords, Collins, Kennedy, Dodd, Bingaman, Wellstone, and Murray.

OPENING STATEMENT OF SENATOR JEFFORDS

The CHAIRMAN. The Senate Committee on Labor and Human Resources will come to order.

This morning's hearing is the ninth in a series the committee is holding to discuss issues relating to the reauthorization of the Higher Education Act. This morning, we will discuss three programs authorized in the Higher Education Act: Aid for Institutional Development, or Title III; the National Early Intervention Scholarship and Partnership Program, and the TRIO programs. Trio, Early Intervention and Title III provide support services and scholarships for students, as well as institutional aid to colleges and universities, with the goal of making the dream of a college education a reality for low-income individuals.

Historically, the Federal investment in higher education has placed an emphasis on increasing access opportunity for participation in postsecondary education. The bulk of that investment is provided through grants, loans and work-study to eligible students. Still, oftentimes, it takes more than just a promise of financial assistance for a first-generation, financially disadvantaged student to reach for and attain the golden ring, a college degree.

According to a recent report published by the Institute for Higher Education Policy, first-generation students often face distinctive challenges in pursuit of a college degree. The report further notes that first-generation students are usually less prepared for college life than their classmates who come from college-educated families, and that can prove a stumbling block in achieving a degree.

Each of the programs we will discuss today has unique components, but all are geared to assisting low-income, first-generation college students pursue postsecondary education opportunities.

The Early Intervention Program, for example, encourages schools to provide counseling and mentoring services to students who are

at risk of dropping out of high school. The TRIO programs offer a broad array of services, from campus visits to early residential programs.

Colleges also play a role through the institutional aid program by enrolling large numbers of financially disadvantaged students and providing funds to those institutions for faculty development. These programs are successful because they provide flexibility to schools and colleges to encourage students to graduate high school and go on to postsecondary training. And we know from recent studies that students who go on to complete a postsecondary degree return this investment by getting higher-paying jobs and increasing the economic productivity of our Nation.

I look forward to hearing the comments, recommendations and suggestions from our witnesses for ways that we might make these programs more efficient and effective. You are the experts in the field, and your deep understanding of these programs will be of great value to us as we move forward on reauthorization.

Thank you all for being here today.

Our first witness is Mr. Moses Griffin. Mr. Griffin is the executive assistant to the president and administrator of the Title III program at Wilberforce University in Wilberforce, OH. Thank you for being here today. Senator DeWine asked me to apologize for him. He had expected to be here, but was called away for other work.

Our next witness is Dr. Vic Morgan, president of Sul Ross State University in Alpine, TX. Sul Ross State University is part of the Texas State University system. Dr. Morgan began his association with Sul Ross in 1975 and was appointed president in 1990.

Ms. Linda Shiller is director of outreach programs at the Vermont Student Assistance Corporation. Welcome, Linda; it is good to see you again. She will speak to us today about Vermont's Early Intervention Scholarship and Partnership Program.

Our final witness this morning will be Ms. Ann Coles. Ms. Coles is the senior vice president of education information services at the Education Resources Institute and director of their Higher Education Information Center in Boston. And Senator Kennedy apologizes, but this is an extremely busy time right now, and many, many things are going on, so I apologize for him, because he wanted very much to be here.

Mr. Griffin, please proceed.

STATEMENTS OF MOSES GRIFFIN, TITLE III COORDINATOR AND EXECUTIVE ASSISTANT TO THE PRESIDENT, WILBERFORCE UNIVERSITY, WILBERFORCE, OH, ON BEHALF OF THE COLLEGE FUND/UNCF; R. VIC MORGAN, PRESIDENT, SUL ROSS STATE UNIVERSITY, ALPINE, TX, ON BEHALF OF THE HISPANIC ASSOCIATION OF COLLEGES AND UNIVERSITIES; LINDA SHILLER, DIRECTOR OF OUTREACH PROGRAMS, VERMONT STUDENT ASSISTANCE CORPORATION, WINOOSKI, VT, ON BEHALF OF THE NATIONAL EARLY INTERVENTION SCHOLARSHIP AND PARTNERSHIP PROGRAM; AND ANN COLES, SENIOR VICE PRESIDENT, EDUCATION INFORMATION SERVICES, EDUCATION RESOURCES INSTITUTE, BOSTON, MA, ON BEHALF OF THE NATIONAL COUNCIL OF EDUCATIONAL OPPORTUNITY ASSOCIATIONS

Mr. GRIFFIN. Thank you, Senator.

Mr. Chairman, members of the committee on Labor and Human Resources, I am Moses Griffin, the Title III administrator of Wilberforce University in Wilberforce, OH.

Senator, I will not read my entire statement but will give you a brief overview.

The CHAIRMAN. Yes. We hope everyone will keep their verbal statements to 5 minutes, and the entire statements will be made a part of the record. I assure you they will be reviewed, read and carefully digested.

Mr. GRIFFIN. Sir, Wilberforce University is the Nation's oldest coeducational, Historically Black College and University in America. It was founded in 1856. It enrolls more than 1,000 students who are largely lower-income students who are dependent on Federal student assistance in some form.

Eight hundred eighteen of our students are currently receiving Stafford student loans. Another 672 are Pell grant recipients. The university is now within the final year of a 5-year Strengthening Historically Black Colleges and Universities Grant, and it is authorized by the Title III program of the Higher Education Act of 1965.

The Title III Institutional Aid Program plays a dramatic and essential role in supporting the Federal Government's efforts to fulfill the Federal access mission for many low-income and African American students. The Federal Government and the Nation's Historically Black Colleges and Universities and other access institutions work cooperatively to fulfill this shared goal.

The current Title III program was authorized by Congress in 1986 and reauthorized in 1992. Part B, the Black College and University Act, is critical to both the fulfillment of the Federal equal opportunity in higher education goal and the survival and enhancement of the Nation's HBCUs.

The College Fund/UNCF recommendations for reauthorization of Title III will be found at the conclusion of my testimony. They are intended to make minor modifications in the program that UNCF presidents and Title III administrators believe is working well. That view is largely shared throughout the HBCU community.

At Wilberforce University, our Title III program is broken down into six major categories. Activity 1, which is student retention,

deals with tutoring, counseling and student services to improve academic success.

Activity 2, which is academic development, deals with instruction, advising, equipment and materials.

Activity 3 is computing equipment, which is vitally necessary to bring the university into the 21st century as far as computers are concerned.

Activity 4 is faculty and staff development and strengthening general institutional management. In order for our faculty and our staff to be able to better serve our students, this is a much-needed category.

Activity 5 is structuring the planned giving and major gifts institutional efforts. This is where the planning and the structure is performed in order to go out and find major contributors to help this private institution to continue to grow.

And Activity 6 is attracting and retaining adult students. This is a program that has been designated to assist those people who have completed 2 years of college credits and allow them to go to school at that time, even though they are working, raising families and so on, and be able to obtain a college degree.

I am not going to go into all of these major activities as far as the programs are concerned and as far as the progress is concerned. That is already within my testimony. What I would like to do, sir, is go to a brief summary, if I may.

There is one major area that is of great concern to Wilberforce University and the UNCF. They are both strongly committed to evaluating institutional progress and meeting stated goals and objectives in the Title III program. The Title III Part B program is unique and presents special challenges in order to ensure a fair evaluation and program accountability.

Title III grants cannot be fairly evaluated collectively. Institutional aid grants by definition are intended to move individual institutions along a continuum toward their fullest possible development. In order to fairly and effectively measure institutional progress using Title III funds, we must evaluate how well the institution meets the objectives it outlined to the Secretary of Education in its grant application, in accordance with the institution's strategic plan.

Attempts to use common evaluation criteria would impose standards which assume a uniform "origin," "growth," and "maturity" point for all institutions of higher education. The false nature of this premise leads us to believe that the Title II study/evaluation by the Department of Education's consultant MATH-TECH will unfairly and improperly assess the real progress being made by colleges and universities like Wilberforce University.

The HBCU community's concerns are heightened by MATH-TECH's lack of experience and knowledge about the Title III program and participating institutions and especially their lack of familiar with HBCUs.

I have included at the end of my testimony also UNCF's Higher Education Act reauthorization recommendations for Title III.

I would be pleased to respond to any questions you may have regarding the Title II program at Wilberforce University. Also, Mr. William A. Blakey, who serves as Washington counsel to the Col-

lege Fund/UNCF, is also available to answer any questions you may have regarding UNCF's Title III reauthorization recommendations.

Thank you, sir.

The CHAIRMAN. Perfect timing. Thank you.

[The prepared statement of Mr. Griffin follows:]

PREPARED STATEMENT OF MOSES GRIFFIN

INTRODUCTION

Good Morning Mr. Chairman and members of the Committee on Labor and Human Resources. I am Moses Griffin, the Title III Administrator at Wilberforce University in Wilberforce, Ohio.

Wilberforce University is the Nation's oldest, coeducational Historically Black College or University in America. This institution of higher learning was founded in 1856 under the aegis of African Methodist Episcopal Church. (AME). Wilberforce University enrolls more than 1,000 students, who are largely lower income students and who dependent on federal student assistance to enroll in college, i.e. eighty percent receive some form of Title IV, Student Assistance (818 Stafford student loan borrowers/$3,504,955) and sixty-five percent are Pell Grant recipients (672/$1,140,077). The University is now within the final year of a five-year Strengthening Historically Black Colleges and Universities grant under the Institutional Aid Program authorized by the Title III Program of the Education Act of 1965.

The Title III, Institutional Aid program plays a dramatic and essential role in supporting the Federal in fulfilling the Federal "access" mission for many lower income and African American students. The Federal Government and the Nation's Historically Black Colleges and Universities (HBCUs), and other access institutions, work cooperatively to fulfill this shared goal! The current Title III program was authorized by Congress in 1986, and reauthorized in 1992. Part B, The Black College and University Act is critical to both the fulfillment of the Federal equal opportunity in higher education goal, and to the survival and enhancement of the Nation's HBCUs. The College Fund/UNCF's recommendations for reauthorization of Title III—which can be found at the conclusion of my testimony—are intended to make minor modifications in the program that UNCF Presidents and Title III Administrators believe is working well. That view is largely shared throughout the HBCU community.

AN OVERVIEW OF WILBERFORCE UNIVERSITY'S ADMINISTRATION OF THE TITLE III PROGRAM: A CAPSULE OF EXCELLENCE AND EFFECTIVENESS

The University's current Title III project consists of the following six Program Activities:

Activity 1—Student Retention—Tutoring, Counseling, and Student Services to Improve Academic Success.

Activity 2—Academic Development—Instruction, Advising, Equipment, and Materials.

Activity 3—Computing Equipment, Academic Renovation, and Institutional Management.

Activity 4—Faculty and Staff Development and Strengthening General Institutional Management.

Activity 5—Structuring the Planned Giving/Major Gifts Institutional Efforts.

Activity 6—Attracting and Retaining Adult Students.

Note:All data in this report covers the first four years of this grant period.

MAJOR FINDINGS BY ACTIVITY

The following assessment of the accomplishments of the Title III project addresses the six Program Activities in relation to both the specific objectives of the plan of operations and the stated goals of the University.

Activity I—Student Retention—Tutoring, Counseling, and Student Services to Improve Academic Services.

The major objectives of Activity One, as noted in the plan of operation, is to identify and improve retention rates for underprepared, first-generation students which it typically serves, as well as for the academically able and well motivated students which the University seeks to attract in large numbers. This Activity plan is to be accomplished through improved orientation and advisement of students, increased

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faculty/student contact outside the classroom, comprehensive counseling, increased parental involvement and tutoring, and career guidance.

The following three Activity objectives are being achieved over the grant period of five-years: (1) to identify and reduce organizational and personal factors which contribute to unnecessary student attrition; (2) to maintain a continuous and comprehensive counseling program to assist students in relating to the University's environment, (3) to assist in enrollment management activities designed to retain students.

Activity I—Progress

The need for Activity One is extremely clear, by looking at the population being served, and the development of the institution's capacity to assist students in the ways outlined is vital to a successful academic life. The University's professional staff and support personnel are aware of the importance of this project, and the University's administration strongly supports the program.

The objectives for achieving this Activity during the duration of this grant are being met in a timely manner.

Counseling services have expanded with services in academic tutoring, time management, study techniques, and student life difficulties. Faculty and support staff are making themselves available to individuals and groups whenever their talents or skills are needed in helping meet performance objectives.

Monthly and annual attendance reports from the Counseling Center may be seen in the Office of the Vice President of Student Affairs. The Counseling center has served 400 students in the fourth (1995–96) grant year with 80 percent seeking academic assistance, 15 percent seeking personal counseling, and 5 percent with a number of miscellaneous concerns.

Of the 400 students seeking counseling services, program records show 94 percent returned for further assistance. Faculty members have shown a tremendous desire to assist with on-site study reviews, group and individual remedial sessions, and those individual students requesting private meetings to discuss personal problems (such as sight difficulties, hearing problems, and/or other causes of learning difficulty). The Counseling Center staff has also improved student request for assistance by instructing students on how to study effectively.

Counseling services have increased to a myriad of student-oriented services. The area of expanded services include peer mentors, resident life, violence prevention, science reviews, math remedial sessions, study labs, and a number of other counseling components aimed at improving student life and retention.

The major objective of this Activity continues to record tremendous improvements in the area of attracting and retaining students. The Campus Visitation Day and the Parent Weekend have helped with attrition by improving parental interest and University support. A partial list of the major activities conducted by project staff include: visitation day for high school counselors, health fairs, drug and alcohol seminars, anti-violence workshops, academic stress seminars, male rite-of-passage and female rite-of-passage, and personal relationship conferences.

Parent Week's large success has been in part due to the collaborative efforts of alumni participation and Activity staff's careful planning of endeavors which are of great interest to parents (survival skills, residence halls, career choices, counseling assistance, mentor programs, study aids, and financial aid). Staff's strategies are also impacting upon retention/attrition by cultural events, social affairs, faculty/student socials, sporting events, and self-awareness sessions.

The continuous institutional support and staff dedication are evident at this point and all preliminary evidence predicts a successful outcome for this Activity.

Activity II—Academic Development—Instruction, Advising, Equipment, and Materials.

The major goal of this Activity, as stated in the plan of operation, is to improve the academic delivery services of media communications, faculty research, academic advising, student support systems, and the assessment of special populations. This Activity Plan is that of an academic advising oversight component, tutorial program, and assessment coordination. It is felt that these endeavors would support the retention efforts presented in Activity One.

The following seven Activity objectives were put into place during the first year as originally projected in the plan of operation: (1) to place 90 percent of freshmen participating in The Wilberforce Intensive Summer Experience Program (WISE) above remedial college algebra; (2) to place 100 students in small group evening tutorial sessions; (3) to develop an assessment instrument for incoming students and existing students; (4) to use satellite communications in 35 class sessions; (5) to attend six debate team meets as well as selected training workshops; (6) to establish ten faculty/student research projects, and (7) to coordinate the production of University publications.

Activity II—Progress/

The achievements in this second program during year four is moving in a timely manner toward a successful completion. The Director of this Activity, the Director of Activity III, and the Title III Coordinator collaborated effectively in organizing construction plans and projecting strategies for future equipment needs for the new Mass Communications building.

The Summer Bridge Program, providing intensive instruction in math, science, computer science, and reading and writing was extended from a five week to a six week program. The program was also expanded to include intensive evening sessions of computer literacy, introduction to engineering, and several other concept courses which help ensure successful academic life.

The Summer Bridge Program's success is supported by an impressive 100 percent completion rate (23 entered and 23 completed). The number of students being exempted from University requirements in Math and Reading has consistently ranged between 80 and 90 percent.

The Academic Support Program has provided academic assistance, personal counseling, career advisement, and a number of special problem areas for more than 175 students. The services provided to students also include tutoring, testing, and diagnosing academic deficiencies for the purpose of prescribing remedial corrections.

Special faculty workshops and training sessions were held to help program staff with the special needs of students such as: stress management, dormitory life and accommodating the disabled (Disability Act). In addition, program staff are consistently provided workshops and training sessions on supervisory skills, tutor selection and training, and responding to the special needs of the disabled.

This grant period has witnessed proposals for faculty research being written, awards being designated, and funds being received from Ohio's Department of Education, the United Negro College Fund, and a number of private agencies.

The strengths in Activity II are found in the $701,000 worth of grants identified and successfully written by program staff. The University's Strategic Plan (1994–99) is the official planning guide for documenting the official objectives of the institutional academic support services. The staff of Activity II closely monitors the progress and achievement levels of students in order to assure that they embark upon early academic success. This early monitoring process was designed to ensure greater student retention, as well as improving greater student completions.

This obvious successful monitoring system is composed of lab aides, tutors, study groups, lab and computer sessions, and a number of convenient tutoring sites (Library, King Science Building, and Jackson and Valentine Residence Halls). The tutoring program of 20 trained (academically qualified) student tutors has no more than 15 students assigned to any one tutor.

In addition to successful peer-tutoring efforts, the program effectiveness was improved immeasurably by acquiring the services of a professional tutor in physics. This professional staff addition will help elevate services in those areas recording the highest levels of use: math, chemistry, physics and biology.

The Tutoring Program attendance records (as documented by student sign-in data) provide an impressive account of a constant increase in student academic support. Program data indicated a 64.9 percent increase in student use of tutoring services over last year's totals. The review of sign-in visit records showed 866 students attended sessions during the Fall Semester and 940 students attended in the Spring Semester.

Activity III—Computing Equipment, Academic Renovation, and Institutional Management.

The main purpose of this Activity, as outlined in the project plan of operation, is to renovate existing instructional facilities and laboratories by upgrading the Academic Computer Center to be current with technology and to be able to offer academic instruction in the use of popular software.

Activity Three has two major objectives: (1) to continue upgrading the computer equipment; and (2) to continue staff upgrading and the operational component Law Enforcement Training Network (LETN) for the Campus Police.

Activity III—Progress

The new Mass Media Building is certainly the right step toward continued upgrading of academic facilities and services. The new facility allows the University to remain current in computer technology and academic delivery. The institution's image will also be elevated and student recruitment and retention will be effected in a positive manner.

The innovative leadership in Activity Three should be commended for holding meetings with vendors and University personnel in order to review prices, discuss equipment features, study alternatives and unify requests whenever possible.

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Activity IV—Faculty and Staff Development and Strengthening General Institutional Management.

The major objectives of Activity IV, as presented in the plan of operation, is faculty/staff development as well as counseling and referral services which maintain a healthy work environment for personnel. The Activity Plan is to support academic development and assist programs with attracting, retaining, and strengthening staff quality and providing a system of staff policy and procedure standards which promote good employee relations and greater productivity.

The following six Activity objectives are to be achieved over the five year grant period: (1) to continue support of faculty pursuing terminal degrees and to support five additional faculty to obtain terminal degrees; (2) to support ten non-faculty employees to obtain graduate/terminal degrees; (3) to support faculty, staff, and administrators in attending professional meetings and symposiums for their continuing education; (4) to establish an on-campus self-help library for all staff members; and (5) to establish a university-wide Performance Appraisal System including the development of a Personnel Policies and Procedures Manual (6) with a corresponding Supervisor's Manual.

Activity IV—Progress

The University's policies and procedures Manual has experienced some delay in completion because of new policy research in the areas of affirmative action rules, working conditions (smoking, eating, etc.), and a conclusion of the legal overview of recently completed job performance regulations.

The academic staff and support personnel are adequately represented in the training and development component of this Activity. Three faculty members are currently completing Ph.D.'s and two support personnel are actively pursuing Master's Degrees. In addition, one staff member completed his MBA, and a number of institutional staff and personnel recorded an extensive attendance list at conferences, workshops, seminars, and training sessions (library workshops, teaching technique workshops, science workshops, accounting seminars, informational technology sessions, physical education workshops, science equipment workshops, stress management seminars, file and records workshops, human resources workshop, communication skills workshop, compensation and benefit seminar, coaching clinic, financial aid information seminar, and student defaulted loan conferences).

The Employee Assistance Program is a strong and extremely viable component of the University in the very capable hands of the Project Director. The completely confidential program provides employees with professional referrals for their family and/or personal problems.

The Self-Help Library provides source materials in a database and the catalog formulation readily available. The Library has also undergone the addition of computer skill manuals and grammar skills booklets. Stress management books and videos, and communication technique booklets.

Activity V—Structuring the Planned Giving/Major Gifts Institutional Efforts.

The major objectives of Activity Five, as stated in the plan of operation, are to help support the University's efforts in educating its giving constituency concerning planned gifts and to support efforts toward attracting other funding. This Activity was meant to continue building the strong financial base so badly needed in facing the budgetary pressures of the day-to-day operations and the challenges of the future. The plan as outlined is to educate alumni and friends as to planned giving and to explore, identify and attract other external funding sources.

The five following Activity objectives are to be achieved over the period of the grant: (1) to produce and distribute a "Guide to Giving" to the University; (2) to identify 100 alumni/friends of the University with the capacity to make a major gift/planned gift; (3) to write a cultivation plan for the top 40 prospects; (4) senior administrators (President, Vice President for Development and University Relations) to make personal calls on top prospects; (5) to increase the number of Requests for Proposals (RFP's) responded to with full proposals.

Activity V—Progress

The progress of Activity Five continues to show great progress. This grant year witnessed over 125 individual and group meetings held by program staff with potential givers throughout the United States. The results of these numerous meetings with prospects increased the institution's total for gifts well over 1.5 million dollars. In addition, a number of new sources such as university vendors, advisory board members, and cooperative education program participants have been identified and a plan has been developed.

The progress made by this Activity staff is excellent in their efforts at making contacts and developing strategies for soliciting potential givers. The new solicitation plan, follow-up efforts, and program reviews are clearly aimed at a useful plan

toward combining these strategies into a permanent tradition. The efforts of the competent staff of Activity Five not only provides much needed financial support, but also increases institutional visibility, recruitment efforts, and ability to be more responsive to those disadvantaged youth it serves.

Activity VI—Attracting and Retaining Adult Students

The main objectives of this Activity, as stated in the plan of operation, is to initiate a degree program offering evening classes for adult transfer students who are 25 years or older and who have completed at least two years of college.

The following five Activity objectives are to be achieved over this grant period: (1) to increase institutional enrollment by adding special adult programs; (2) to provide evening academic programming to the typically underserved adult learner; (3) to expand program curriculums to accommodate the special needs of the adult learner which will allow admission to the program and achieve academic success; (4) to provide academic instruction in disciplines in which African Americans are underrepresented; (5) to provide tutoring, counseling, and student service programs designed to improve academic success.

Activity VI—Progress

This Activity leader appears to have adjusted to the demands for which he has exhibited a true talent. This talent has manifested itself in the form of four new community centers for the University's adult academic programs.

The four new university adult community educational centers are appropriately located throughout the region at Greene County Memorial Hospital, Middletown Regional Hospital, Columbus State Community College, and the Dayton Urban League facility. The well planned centers became completely operational during January 1997.

The enrollment data has recorded an impressive history of program growth with 86 students in 1992–93, 71 students in 1993–94, 107 students in 1994–95, and 116 students in 1995–96. The four new educational centers should bring about a greater growth in levels of service and enrollment.

Program staff attended a number of conferences, workshops, and seminars. The session titles ranged from Strategies for Recruiting and Retaining Students of Color and African American Men Stopping Violence to regional and national conferences for adult educators.

Students commitments can be seen in the diversity shown by the ten students who traveled to Florida A&M University to review graduate programs and professional schools. The list of student held workshops, seminars, special lecture sessions, and culturally diverse events provide great insight into a program that is on target.

A BRIEF SUMMARY

Wilberforce University has completed year four of the five year Strengthening Historically Black Colleges and Universities Title III grant. All milestones and objectives for the fourth grant year have been achieved on or near the scheduled time.

Overall, the project is well managed, faculty and staff enthusiasm and dedication are high, and the institutional commitment is sincere. The University is being strengthened in those areas most critical to the overall success of its mission.

The written documents and records reviewed during the evaluation process were, for the most part, comprehensive and well prepared. They included a tremendous amount of quantifiable data and information to support the opinion that project activities are moving successfully toward the desired goals. The Wilberforce University project appears to be carrying out the intent of Title III legislation and meeting the critical needs of the institution. I have attached to my testimony, a summary budget of Wilberforce University's Title III expenditures for the first four years of our current Title III grant.

Wilberforce University and UNCF are strongly committed to evaluating institutional progress in meeting stated goals and objectives in the Title III program. The Title III, Part B program is unique and presents special challenges in order to ensure a fair evaluation and program accountability. Title III grants cannot be fairly evaluated *collectively*. Institutional aid grants, by definition, are intended to move individual institutions along a *continuum toward their fullest possible development*. In order to fairly and effectively measure institutional progress using Title III funds—we must evaluate *how well the institution met the objectives it outlined to the Secretary of Education in its grant application, in accord with the institution's Strategic Plan*. Attempts to use common evaluation criteria would impose standards which assume a uniform "origin," "growth," and "maturity" point for all institutions of higher education. The false nature of this premise leads us to believe that the Title III study/evaluation by the Department of Education's consultant *MATH-TECH* will unfairly and improperly assess the real progress being made by colleges and universities like Wilberforce. The

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HBCU community's concerns are heightened by MATH-TECH'S lack or experience and knowledge about the Title III program and participating institutions, and especially their lack of familiarity with HBCUs.

UNCF's HIGHER EDUCATION ACT REAUTHORIZATION RECOMMENDATIONS FOR TITLE III

The current law Title III program has been in operation for almost ten years. The essentially formula-driven program under Part B is complemented by the Graduate and Professional program authorized in section 326 and the Part C, Endowment Grant program—which is currently unfunded. The College Fund/UNCF makes the following recommendations to increase the efficiency and effectiveness of the Title III program:

(1) AUTHORIZE PART B ELIGIBLE INSTITUTIONS TO USE UP TO 20 PERCENT OF THEIR PART B AWARD FOR ENDOWMENT BUILDING PURPOSES;

(2) CLARIFY THE "MATCHING" REQUIREMENT IN SECTION 326 SO THAT ONLY AMOUNTS ABOVE THE INITIAL $500,000 AWARD MUST BE MATCHED—ON A DOLLAR-FOR-DOLLAR BASIS—BY THE GRADUATE OR PROFESSIONAL INSTITUTION;

(3) MAINTAIN THE CURRENT ELIGIBILITY REQUIREMENTS AND DEFINITION OF "QUALIFIED GRADUATE PROGRAM" FOR PARTICIPATION IN SECTION 326, BUT ADD A REQUIREMENT THAT "HOLDS HARMLESS" THE AWARD LEVELS OF EXISTING INSTITUTIONS, IF NEW INSTITUTIONS OR GRADUATE PROGRAMS ARE ADMITTED TO SECTION 326;

(4) ESTABLISH AN INSTITUTIONAL "HOLD-HARMLESS" PROVISION WHICH PREVENTS THE AWARD LEVEL OF EACH INSTITUTION FROM BEING REDUCED IN A SUBSEQUENT YEAR—UNLESS THE TOTAL APPROPRIATION FOR SECTION 326 IS REDUCED BY THE CONGRESS;

(5) ALLOW EACH SECTION 326 INSTITUTION—IF IT HAS STATUTORY AUTHORITY TO FUND A MEDICINE, VETERINARY MEDICINE, PHARMACY, LAW, OR "QUALIFIED GRADUATE PROGRAM"—TO IDENTIFY THE ACADEMIC SCHOOL OR COLLEGE OR PROGRAM THAT IT WISHED TO FUND DURING A PARTICULAR ACADEMIC YEAR OR FUNDING CYCLE; AND

(6) AUTHORIZE A REGULAR EVALUATION OF THE TITLE III PROGRAM THROUGH THE OFFICE OF EDUCATIONAL RESEARCH AND IMPROVEMENT.

I WOULD BE PLEASED TO RESPOND TO ANY QUESTIONS YOU MAY HAVE REGARDING THE TITLE III PROGRAM, ESPECIALLY THE PROGRAM AT WILBERFORCE UNIVERSITY. WILLIAM A. BLAKEY, WHO SERVES AS WASHINGTON COUNSEL TO THE COLLEGE FUND/UNCF IS ALSO AVAILABLE TO ANSWER ANY QUESTIONS YOU MAY HAVE REGARDING UNCF's TITLE III REAUTHORIZATION RECOMMENDATIONS.

Wilberforce University Budgetary Breakdown
for Title III Expenditures for the Current Grant Period
from October 1, 1995 through September 30, 1996

a.	Compensation (salaries, benefits, stipends, etc. for staff, consultants, students)	$ 1,133,503
b.	Acquisition of scientific/laboratory equipment	174,117
c.	Acquisition of library materials and equipment	15,925
d.	Acquisition of computers/networks/software (other than in b or c)	532,400
e.	Travel	156,040
f.	Other (specify) supplies, telephone, postage, printing, consultants, maintenance, construction, renovation, faculty and staff development	804,770
g.	Total	$2,816,755

Listed below are major purposes of activities conducted in the Title III grant and the expenditures and cumulative expenditures through and including 1995-96.

		(1) Grant expenditures for 1995-96	(2) Cumulative expenditures through 1995-96
A.	Faculty development (support of faculty exchanges, faculty development workshops, faculty fellowships to assist in obtaining advanced degrees in their field of instruction, etc.)	$ 10,000	$ 40,000
B.	Development and improvement of Student support services to improve academic success (tutoring, counseling, advising, career placement, etc.)	235,500	38,250
C.	Development and improvement of academic programs and resources (projects to develop or improve curriculum, instruction or research in specific subject areas or to improve central academic support resources such as central libraries, computer centers or networks, telecommunications centers or networks, etc. Include related grant-funded expenditures for acquisition of equipment or materials)	215,502	744,317
D.	Development and improvement of funds and administrative management tools and capabilities (including associated equipment acquisitions, personnel training, etc.)	66,700	250,180
E.	Construction, renovation, and maintenance of instructional facilities	70,320	264,909
F.	Other (personnel cost, travel, supplies, contractual cost, telephone, postage and printing costs	180,674	1,246,576
G.	Grant Administration	53,823	182,523
	Total	$ 832,519	$ 2,816,755

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The CHAIRMAN. Dr. Morgan, please proceed.

Mr. MORGAN. Thank you, sir.

I am Dick Morgan, and it is indeed a privilege and pleasure to be here, Chairman Jeffords. We appreciate your giving us the invitation and the opportunity to be here.

I am here representing the Hispanic Association of Colleges and Universities, who serve many of the Hispanic-Serving Institutions in the country, and I want to share with you today the role of Hispanic-Serving Institutions in the delivery of higher education to Hispanics and nonHispanics and to request your consideration for specific changes to the Title III HSI program.

Sul Ross State University is the only public university between An Antonio and El Paso, a distance of some 600 miles along the Texas/Mexico border. Sul Ross serves 18 counties, a region of approximately 45,000 square miles; that is roughly the size of the State of Pennsylvania, but there are only 155,000 citizens in this region.

To give you an idea of what that is like, this phone book represents seven counties, including the counties in which the university is located, and this is 22,000 square miles—and by the way, this includes the Yellow Pages.

The region is approximately 50 percent Hispanic and is characterized by small, rural, economically challenged school districts. The oil for which West Texas is famous is north of us; it does not generally impact the institutions in our region.

Fifty percent of the undergraduates at Sul Ross and 42 percent of all enrolled students are Hispanic. Sul Ross is sixth in the Nation in producing Hispanic teachers for the Nation's public schools, according to a recent Hispanic Outlook article. There are a number of examples of citizens in our written testimony, to give you an idea of the impact that we have on families and individuals in terms of higher education opportunities.

One of the things we do know, however, is that Hispanics are a bit unique in that if they drop out of school at Sul Ross State University, they are unlikely to transfer to another institution to receive an education. And I think that that is probably fairly typical of Hispanics at most Hispanic-serving institutions. Once they drop out, they tend to go home, they tend to take whatever work is available and tend to fail to complete their higher education.

Over 80 percent of the undergraduates at Sul Ross have documented financial need, with over 40 percent with full need, and I think that compares to about a 12.5 percent national average of students with full need.

Eighty percent of our graduates are first-generation college students.

Hispanic-Serving Institutions are 2- and 4-year public and private institutions with an enrollment of over 25 percent Hispanic. HACU represents 160 of these institutions and helps to ensure success for Hispanic students. HACU sponsors workshops, financial aid, grant-writing, retention, transfer student needs, dropout prevention and college preparation, and links colleges and universities to public schools and community organizations.

Hispanic-Serving Institutions represent less than 3 percent of the higher education institutions in the country; however, over 60 percent of the Hispanics in higher education are enrolled in these Hispanic-Serving Institutions. Hispanics are the fastest-growing segment of our population; they have the lowest family income and will soon be the largest minority group in the United States. Projections in Texas are that by the year 2030, 46.5 percent of the population in Texas will be Hispanic, 35 percent Anglo, 10 percent African American.

Hispanics are the most under-represented ethnic group in American higher education. The public school dropout rate approximates 50 percent for Hispanics throughout the Nation, and since one of the universal keys to employment success is higher education, we have got to do all we can to reverse that trend. We believe that the Federal Government can and should help equalize our chances for success. We believe that all minority-serving institutions deserve equitable treatment.

HSIs were first recognized in the last reauthorization Act and were authorized for up to $45 million. In 1996, that funding level was $12 million and was reduced to $10.8 million in 1997. Sul Ross is one of 37 institutions out of 92 applicants awarded the 5-year development grants under the HSI program in 1996. They are pretty tough standards, and to get those, the institutions must do a lot of self-evaluation, self-assessment, commitments to other things.

These grants provide funding for libraries, retention programs, faculty enhancements, multimedia technology to redesign courses and train teachers. We have many institutions that are using the funds to get into the distance learning opportunities so that we can reach out, and of course, in my area of the country, that is pretty important.

Helping HSIs is a wise investment of limited Federal resources and will change welfare recipients in all groups into tax-paying citizens of tomorrow.

In terms of our recommendations and requests, our first and overriding concern is that the entire Higher Education Act focused the Federal role to address educational needs, rapid demographic changes and under-representation, that is, that our Federal dollars reach out neediest people.

Second, I ask that our specific recommendations be submitted to the record, and I will outline some of those recommendations here.

We would like to see more reference to Hispanic-Serving Institutions throughout the bill. Specifically, in all areas where other minority-serving institutions are mentioned, HSIs should be recognized explicitly.

We urge the creation of a new section under Title III, Strengthening Institutions for HSI, comparable to Part B for the Historically Black Colleges and Universities.

In Title III, the definition of HSIs is a bit too restrictive. We concur with the 25 percent enrollment and 50 percent from low-income families. However, the full-time equivalent does not reflect patterns in Hispanic enrollment. Also, the requirement of 50 percent being first-generation college students is unnecessary; the definition of poverty suffices.

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We ask that you drop the requirement that an additional 25 percent come from either low-income or first-generation college families, as it is unnecessarily restrictive.

Finally, we ask that the funding trigger requiring that general Part A grants be funded at $80 million before HSIs receive funding be dropped.

That concludes my presentation. I will be happy to answer questions. I have with me Ms. Carol Ruppel from the Hispanic Association of Colleges and Universities, who will be glad to answer questions as well.

The CHAIRMAN. Thank you very much, Dr. Morgan.

[The prepared statement of Mr. Morgan follows:]

PREPARED STATEMENT OF DR. R. VIC MORGAN

Good morning. My name is Dr. R. Vic Morgan and I am President of Sul Ross State University (SRSU) in Alpine, Texas. I am testifying on behalf of the Hispanic Association of Colleges and Universities (HACU), which represents America's Hispanic-Serving Institutions (HSIs). Thank you Chairman Jeffords and Committee for this opportunity to speak on the effectiveness of the Title III HSI Strengthening Institutions Grants.

Sul Ross is the only public university between San Antonio and El Paso, a distance of more than 600 miles along the Texas/Mexico border. Sul Ross serves 18 counties in far west Texas encompassing a region of 45,000 square miles. This is an area the size of the state of Pennsylvania, with a population of 155,000. The region is approximately 50 percent Hispanic and is characterized by small, rural, economically disadvantaged school districts. The oil for which West Texas is famous does not benefit a large portion of our region.

Sul Ross State University is over 75 years old and enrolls 2,500 students. More than 50 percent of our undergraduates and 42 percent of our students are Hispanic. We retain and graduate a higher percentage of Hispanics than either Anglo or African American students. More than 80 percent of the undergraduates at SRSU have documented financial need; more than 40 percent have full financial need. These figures are common for HSIs. The national average for students with full need is 12.5 percent.

Sul Ross is **sixth** in the nation in institutions producing Hispanic teachers for public school systems and **Twenty-third** in the number of criminal justice degrees it grants Hispanics, according to an Hispanic Outlook article (based on 1992–93 data). As a regional comprehensive university, Sul Ross prepares its graduates for critical positions in communities, state and federal agencies, and private businesses of the Texas border region.

On a recent graduation survey, 80 percent of our graduates indicated that they were first generation college graduates. Examples of our impact on Hispanic families:

- The Gallego family has been in Alpine for five generations. Pete owns a restaurant and has three children who attend Sul Ross. Two are now lawyers and one is a medical doctor. One of the attorneys is our current State Representative serving his fourth term in the Texas House.
- Arturo Galindo, a current employee in our Title III program, is married with four children. He was working as a janitor in an area public school when a teacher suggested that he try to go to college. The counselor at his school, a Sul Ross graduate, advised him to choose Sul Ross because "they will take care of you there." He completed his degree and considered several positions in the West Texas area. He is now a computer specialist in our Title III program, working with Sul Ross faculty members to incorporate computer technology into their courses.
- The Viscaino family, from Alpine, has grandparents who live in Chihuahua, Mexico, in a village with no electricity. The father immigrated to the United States and worked for a concrete company. He became a U.S. citizen and all five children in the family have attended Sul Ross. Four received degrees (education, social science, chemistry, & business administration) and all are solid citizens, contributing to our society.

The success stories abound, and that is due to our high Hispanic graduation rate. We know from Texas Higher Education Coordinating Board data that most Hispanic students who drop out of Sul Ross don't complete a degree elsewhere. Unlike members of other ethnic groups who may transfer to other institutions and finish a de-

gree, Hispanic students are often region bound by culture, economics, and other factors and therefore unlikely to complete their studies once they drop out. Instead they return to their family and find whatever work may be available.

Sul Ross State University is one of 160 Hispanic-serving two-year and four-year, public and private colleges and universities belonging to HACU, the Hispanic Association of Colleges and Universities. HACU promotes the development of its colleges and universities through administering a large number of federal and corporate partnerships and by keeping its members abreast of all developments which improve the chances of Hispanic students' success. HACU serves as a think tank and an advocate for Hispanics seeking or enrolled in higher education. It sponsors workshops on financial aid, grant writing, student transfer, dropout prevention and college preparation, and links colleges to high schools and community-based organizations.

I am here today to share with you the role Hispanic-Serving Institutions play in the delivery of higher education to Hispanics and non-Hispanics and to ask for specific changes in the Title III HSI program.

Hispanic-Serving Institutions (HSIs) are so-designated because they have a Hispanic enrollment of at least 25 percent. The U.S. Department of Education counts approximately 200 colleges and universities as HSIs. HACU estimates that about 60 percent of all Hispanic students are enrolled in HSIs. Hispanics constitute the fastest growing segment of the population and will soon be the largest minority group in the United States. Yet Hispanics are sorely under-represented in institutions of higher learning.

We feel that there is a tremendous need to boost the enrollment of Hispanic students to more accurately reflect their numbers in our society. For a variety of reasons, Hispanics have a 50 percent high-school dropout rate and a poor college retention rate. We all know that one universal key to success in employment is a college degree. Hispanics are tired of being poor and working in menial jobs, and are anxious to gain greater access to professional and technical opportunities.

Hispanics bring the same academic potential as other groups in this country. We are building a tradition of access to college in order to realize that potential, and believe that the federal government should help equalize our chances for academic success. HSIs, like Historically Black Colleges and Universities, bring their own unique history of disadvantage to the table. HACU believes that HSIs and all minority-serving institutions deserve equitable treatment.

Although the HSI grant program was authorized in the Higher Education Act Amendments of 1992, fiscal year 1996 was the first appropriation. Of the 92 institutions that applied, only 37 HSIs were awarded five-year grants.

Title III HSI grants are vital to our continued success in educating Hispanics. They support college-wide development projects that are not covered by individual student aid grant funds such as Pell grants and TRIO programs. And state dollars are primarily for operations; rarely for development. The grant-writing process itself is invaluable to our institutions. Colleges are required to undergo a rigorous self-assessment and set measurable goals to address their weaknesses. They must also provide evidence that the programs will become permanent after the funding expires. HSI grants allow our mostly under-funded campuses, all with large numbers of low-income students, to give students the education they need to compete in our society.

A survey which we conducted last year of the 37 grantees shows how the money is spent. Many of the grants are used in part to update teaching methods proven to result in retention and achievement of Hispanic students. Grants fund the development of multimedia technology to redesign courses and to train teachers who often train other teachers at other institutions. Courses are redesigned to have more appeal and more application and thus to motivate students to stay with them. For example, in the first year of its grant San Antonio College created an instructional lab for faculty to develop multimedia and computer-technology presentations for the classroom. Within the first year 112 small classes and seminars were scheduled. The lab also offers technical assistance solving hardware and software problems around campus.

Another Texas college, Our Lady of the Lake, uses its grant to fund the development of a new major field of study, Electronic Commerce.

Colleges use HSI funds for distance learning equipment and training. HSIs have been able to reach other HSIs and high schools in geographically and culturally isolated areas with interactive video, videoconferencing and voice mail. Elementary and high school teachers earn continuing education credits this way. High schools are able to expand their curriculum by tuning in college courses taught by professors and earning college credits. Our Lady of the Lake reports offering computer camp for middle- and high-school students.

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Most grantees are able to offer programs of academic support to Hispanic and non-Hispanic students at risk by training faculty and counselors. Supplemental instruction, counseling, academic advising, peer tutoring, career planning and careful tracking are provided.

The grant is used to help build endowments. The majority of HSIs are community colleges, often in very poor communities. HSI grants help build alumni groups and grant-writing capacity.

Our first and overriding recommendation for reauthorization is that the entire Higher Education Act focus the federal role of higher education to address educational need, rapid demographic growth, and under-representation. Our federal dollars should be spent on our neediest people.

I ask that our specific recommendations be submitted to the record, and I will outline our suggested amendments to Title III here. We would like more references to Hispanic-Serving Institutions throughout the bill. In all titles where "other minority-serving institutions" are mentioned, Hispanic-Serving Institutions should be recognized explicitly. To best accomplish this we urge that there be a new section created under Title III Strengthening Institutions for HSIs, comparable to Part B for Historically Black Colleges and Universities. We recognize and respect our historical differences, but can build an equally compelling argument for equity.

On Title III the definition for HSIs is far too restrictive. We concur with the 25 percent Hispanic enrollment requirement and that 50 percent of that be from low-income families. However, that those students be full-time-equivalent (FTE) does not reflect the reality of Hispanic college enrollment. Many Hispanics can afford to enroll only as part-time students. Also the requirement that those 50 percent come from first-generation college parents is unnecessary. The definition of poverty suffices.

Finally in the definition of HSIs for eligibility for Title III grants for Hispanic-Serving Institutions, the requirement that an additional 25 percent of the Hispanic enrollment come from either low-income or first-generation college families is also unnecessarily restrictive.

Under the section of Title III authorizing appropriations for HSIs we ask that the funding trigger requiring that general Part A grants be funded at $80 million dollars before HSIs receive funding be dropped.

These are our recommendations for Title III. We respectfully ask the Committee to carefully consider all our recommendations when taking up reauthorization, as they were drafted with the intention of "leveling the playing field."

Thank you for the opportunity to provide this information about Hispanic-Serving Institutions on behalf of HACU. I will be pleased to answer questions today or in the future. I can be reached by phone at (915)837-8032; HACU's Government Relations staff at (202)833-8361.

The CHAIRMAN. Ms. Shiller.

Ms. SHILLER. Good morning, Senator Jeffords and members of the committee. My name is Linda Shiller, and I am here on behalf of the National Early Intervention Scholarship and Partnership Program, otherwise known as NEISP, but more importantly, on behalf of the students whom we serve. As director of outreach programs at VSAC in Vermont, I oversee two TRIO programs along with Vermont's NEISP program. We have been working with first-generation low-income students for over 30 years, helping them to realize their dreams and continue their education beyond high school.

Today I would like to tell you about NEISP and why it makes a tangible difference to over 3,500 Vermonters and 42,000 students nationwide every year. But first, I would like to ask you to travel back and time and think about yourself as a 7th or 8th grader. I would like you to think about what you were thinking of doing after high school; did you have a specific career in mind? If so, as you look back, was it realistic? Did you think you would go to college, and if you did, who encouraged you? If no one in your family had set foot on a college campus, how would you have had that opportunity? Were finances a concern? Did you worry about how you would pay for it?

The reason I ask these questions is this. Studies show that many students who decide to continue their education beyond high school make that decision by the 7th or 8th grade. Many of us in this room were probably privileged to have that support and encouragement from family to aspire to college. Yet providing this access to the financially and culturally disadvantaged youth in this country is a major challenge as we try to prepare all students to have the education and training necessary to compete in the 21st century.

Like TRIO, NEISP seeks to level the so-called playing field for first-generation, low-income students. It offers an array of tools to help these students overcome the many barriers they face from elementary school to high school as they try to aspire to college.

I would like to tell you about Don and Cindy, two students whose lives have changed as a result of NEISP.

Don has been in NEISP since it started almost 3 years ago. His grades were plummeting, his attendance was poor, and so was his attitude about school. When asked about the future, he had no plans except to get out of high school and as far away from home as possible. Life at home was hell. He lived with mom and her boyfriend, neither of whom graduated high school, and neither of whom encouraged Don to continue his education.

But things turned around for him. He moved in with a friend's family. His NEISP counselor showed him that she believed in his ability to be successful and showed him some real opportunities.

Through the program, Don developed a relationship with a community mentor, and he finally started to believe in himself. His grades improved. He attended field trips and college visits, and he applied and was accepted to a State college—and he received a $2,500 NEISP scholarship to offset his expenses. Don was the first person in his family to graduate from high school and to attend college; and he was almost exclusively supported in his journey to college by the NEISP program.

Cindy had different circumstances. Her parents were supportive of her in many ways, and home life was decent, but her family had other obstacles. They were very poor and unaware of educational opportunities, and college was not something they considered. They are Abenaki Native American. In Vermont, that meant among other things that you did not go to college, and you might be discriminated against in terms of employment.

Cindy had academic ability but lacked confidence and ambition. She participated in every service that was offered through NEISP. Her parents attended meetings to provide information about the importance of higher education and the availability of financial aid. She developed confidence as well as a career goal. As a senior, she applied to six schools, was accepted at four. Some were very expensive, and even with financial aid, Cindy would have had to borrow at least $6,000 a year to attend some of these schools. Without the NEISP scholarship, Cindy's options would have been very limited, but as the first person in her family to attend college, Cindy attended the offer to attend Dartmouth.

The outcomes are powerful. These programs work. In Vermont alone, 87 percent of graduating NEISP seniors went on to college after high school. The Vermont State average is 65 percent. Since

NEISP started in Vermont, over $900,000 in scholarship moneys have been awarded to NEISP students going on to college.

You may wonder what makes NEISP distinctive. Well, it is an early intervention program. That means that we start working with students at middle schools and elementary schools. It stresses a strong mentoring component and community partnership. It requires a State match, which promotes State commitment and involvement and support.

NEISP offers graduating students a scholarship which ties together the early intervention and the financial resources for higher education.

But here are my concerns. Grant funding for higher education has been eroding at an alarming rate in this country. Federal funds for students and student aid have not kept up with college costs. We have to ask ourselves: Do we hold out the promise of educational opportunity only to take it away from deserving students when they are ready to attend college?

The Higher Education Act of 1965 offered access to postsecondary training for all academically prepared students. Now, over 30 years later, it is failing in some ways. The ultimate success of these programs is dependent on the ability of its graduates to finance their education. It is time to get back on track with our promise to all deserving young people regarding the future.

I am here to ask you to ensure that all educational opportunity programs continue to grow to serve all first-generation, low-income students as they prepare for the future and the competitive work force ahead.

More specifically, NEISP, which presently serves nine States, should be expanded so that programs can be established in all 50. NEISP gives students the message that they can improve their lives. They are not only given encouragement and information; they are given money in their pockets to help defer the costs of college and to help make it a reality. Let us make this happen for more students in more States. We know it works. We have already seen the results of TRIO, and we are seeing the results of a program only 3 years old.

Senator, I thank you and the committee for your time. VSAC's outreach programs are always available to assist you in our joint mission to provide all students with educational opportunities.

Thank you.

The CHAIRMAN. Thank you very much, Linda.

[The prepared statement of Ms. Shiller follows:]

PREPARED STATEMENT OF LINDA SHILLER

Good morning, Senator Jeffords and members of the committee. My name is Linda Shiller. I am here on behalf of Vermont's National Early intervention Scholarship Partnership Program (NEISP), but, more importantly, on behalf of the students we serve. It is gratifying to be invited to provide testimony on the importance of Educational Opportunity programs.

As Director of Outreach Programs at the Vermont Student Assistance Corporation, I oversee two TRIO programs along with Vermont's NEISP Program. For over 14 years, I personally have assisted first-generation, college-bound, low-income Vermonters with their quest to develop and realize their educational goals and dreams beyond high school. Today, I would like to tell you about NEISP and why it makes a tangible difference to over 3,500 Vermonters and thousands of students nationwide every year.

First, let me ask you to travel back in time and think about yourself as a 7th or 8th grader.

- How did you spend your free time as a 12 or 13 year old?
- What were you going to do after high school? Did you have a specific career in mind? If so, was it realistic?
- Did you think you would go to college? If you did, who encouraged you? How were you going to get there?
- What if no one in your family had stepped foot on a college campus? How would you have had that opportunity?
- What if the cost of college was as high as $25,000 per year when you attended? Would the cost have affected your ambitions or ability to attend?

The reason I ask these questions is this: Studies show that many students who decide to continue their education beyond high school make that decision by the 7th or 8th grade. Many of us in this room were privileged to have had the support and encouragement from family to aspire to college. For some of us, this was a given: not a far-reaching goal, not a question. Yet providing access to higher education for the financially and culturally disadvantaged youth in this country is a major challenge as we try to prepare all students to have the education and training necessary to compete in the 21st Century. (Add to this the debt burden faced by most students today which places additional economic pressure to get jobs that pay well.) Many students from lower income families see postsecondary education as both financially and culturally unattainable. Lack of financial resources as well as lack of aspirations are the two major barriers inhibiting this population from attending college.

NEISP seeks to level the so-called playing field for first-generation, college-bound and low-income students. It offers an array of tools to help these students overcome the many barriers they face from elementary school to high school graduation. We view NEISP as the "Saturn rocket booster" for students who have the ability and who should have the opportunity to continue their education after high school.

Our program in Vermont is very comprehensive, beginning with a 5th grade boost through to a successful lift-off in 12th grade. I'd like to highlight our major activities and present you with some personal testimonies about students whose lives have changed as a result of NEISP.

In Vermont, we offer the following strategies and activities to NEISP participants on a regular basis:

- encouragement, empowerment, mentoring;
- tutoring, study skills, high school course selection;
- parent involvement, career awareness, planning, business visits and job shadowing; and
- college visits, community service, college selection, assistance with the college and financial aid application processes, financial aid counseling, and transition to college issues.

Yet, this list of program functions is not nearly as informative as the real stories of Don and Cindy, two of our NEISP students.

Don has been in NEISP since its inception almost three years ago. His grades were plummeting, his attendance was poor and so was his attitude about school. When asked about the future, he had no plans except to get out of high school and away from home. Life at home was hell. He lived in a tumultuous relationship with his mom and her boyfriend, neither of whom had graduated from high school or encouraged Don to value his education. Don's father had never been in the picture, and Don had no memory of him.

Sound familiar? We all know young people like Don in every town across the country. Don, however, was lucky. Things turned around for him.

With the encouragement of his NEISP counselor, he got up the courage to get help regarding his family situation, and he moved in with a friend's family. His counselor showed him that she believed in his ability to be successful and showed him some real opportunities. Through NEISP, Don developed a relationship with a community mentor along with the NEISP counselor. Now, two people believed in him.

Most importantly, Don finally started to believe in himself. His grades improved. He started playing sports again, and with the help of his mentor, he visited work sites. He also attended NEISP field trips, mostly held on college campuses. Finally he turned his grades around enough to apply to and get accepted at Plymouth State College in New Hampshire. He attended the five-day pre-college summer program last June, AND he received a $2,500 NEISP scholarship to offset his expenses. Don was the first person in his family to graduate from high school and to attend college. He was almost exclusively supported in his journey to college by the NEISP program.

Cindy had different circumstances. Her parents were supportive of her in many ways and home life was decent, but her family had other obstacles. They were very poor and unaware of the educational opportunities for families in their financial situation. College was not something they considered. They were Abenaki Native American. In Vermont, this meant, among other things, that you didn't go to college, you didn't trust the school system and you might be discriminated against when applying for work. In Cindy's community, one quarter of the families are Native American.

Cindy was referred to VSAC's Outreach Program called Talent Search (a TRIO program) before NEISP was funded. In the 7th grade, her guidance counselor felt that she had strong academic ability. Unfortunately, she lacked self confidence, motivation and the information that would help shape her school experience and prepare her for the future. Fortunately, she was then offered the chance to participate in NEISP as a sophomore when Vermont was funded and we reorganized the distribution of schools to implement NEISP.

Cindy participated in every service and activity offered. Her parents attended meetings designed to provide information about the importance of higher education, encouraging your children to value school, and the availability of financial aid for college. Cindy worked with a group of NEISP students who planned, organized and raised money for a special week-long trip to the Carolinas to visit colleges and businesses and participate in a Habitat for Humanity project. She returned with a new sense of accomplishment, confidence, and a career goal in political science and public policy analysis. She also maintained a friendship with a college student mentor who she met while visiting Dartmouth. They still communicate monthly by e-mail.

Cindy is a senior this year and applied to six schools with the help of NEISP. She was accepted at four schools, including Dartmouth the University of North Carolina at Chapel Hill, Bates, and the University of Vermont. These are expensive schools, and even with financial aid, Cindy would have had to borrow at least $6,000 a year to attend. Her parents are not able to contribute a penny. Without the NEISP scholarship and assistance from the program to research scholarships, Cindy's options would be limited. Even the state university seemed out of her reach. There is a happy ending, however. As the first person in her family to attend college, Cindy has accepted the offer to attend Dartmouth where she will be welcomed by her mentor.

There are many more stories that I could share with you if time permitted. I am one voice representing many who could speak about students who have benefited or who could benefit from early intervention programs like NEISP. The NEISP programs in Washington State, Maryland, New Mexico, and Rhode Island have similar stories.

The outcomes are powerful. These programs work. In Vermont alone, 87 percent of graduating NEISP seniors continued their education in a postsecondary setting. The Vermont state average is 65 percent. Sixty percent of students receiving tutoring reported an increase in grade point average. Since its inception in 1994, $952,000 in scholarship money has been awarded to NEISP eligible students.

NEISP may sound like other educational opportunity programs that presently exist in this country. In fact, it is. Certainly, many of the services offered mirror the TRIO programs. In Vermont, we administer both NEISP and TRIO. They are equally important with similar objectives, participants and outcomes. Yet, NEISP is a drop in the bucket when compared to the appropriated funding and numbers served by TRIO.

Some important differences between the two exist, however, and let me tell you what makes NEISP distinctive:

- NEISP is an early intervention program typically serving younger students than those served by TRIO;
- NEISP stresses a strong mentoring component;
- Many NEISP programs such as Washington State are community based;
- NEISP requires a state match which promotes state involvement and support as well as a partnership among State and Federal Governments as well as with communities;
- NEISP offers graduating seniors a scholarship; and
- NEISP ties together early intervention and financial resources for higher education.

While NEISP and other programs such as TRIO make a positive difference, I must share with the committee some of my concerns. Financial resources for higher education have been eroding at an alarming rate in this country. We all know that federal funds for student aid have not kept up with sky-rocketing college costs. We have to ask ourselves: Do we hold out the promise of educational opportunity only to take it away from deserving students when they reach higher education's door?

The Higher Education Act of 1965 offered access to postsecondary training for ALL academically-prepared students. It is now 1997 and the act, despite its success, has failed to reach too many students. It is time to get back on track with our promise to all deserving young people regarding their future. NEISP works well, but its ultimate success is dependent on the ability of its graduates to finance their education. Therefore, what happens to need-based student aid, such as the Pell Grant, will ultimately determine what happens to NEISP. Let's not forget that either.

I am here to ask you to ensure that educational opportunity programs continue to grow to serve all first-generation, low-income students as they prepare for the future and the competitive work force that lies ahead.

More specifically NEISP, which presently serves nine states, should be expanded so that programs can be established in 50 States. NEISP gives students the message that they can improve their lives. They are given not only encouragement and information; they are given money in their pockets to help defer the cost of college and to help make it a reality. Let's make this happen for more students in more states. We know it works. We have already seen results of a program only three years old. Let's multiply the formula as we prepare our future generations to lead our great Nation.

Senator, I thank you and the committee for your time. VSAC's Outreach Programs are always available to assist you in our joint mission to provide all students with educational opportunities.

I would be happy to answer any questions at this time.Q2

Ms. COLES. Mr. Chairman, members of the committee, on behalf of the National Council of Educational Opportunity Associations, I want to thank you for your support of postsecondary opportunity and of the TRIO programs.

Presently, 1,900 TRIO programs hosted by colleges, universities and community agencies across the United States provide services to nearly 700,000 low-income, first-generation and disabled individuals from 6th grade through college graduation. While the numbers of students in TRIO are substantial, the programs serve less than 10 percent of eligible students nationally.

For more than 30 years, TRIO—actually five programs—has helped young people and adults improve their lives by going to college. Over 2 million TRIO participants have graduated from college, moved out of poverty and are contributing members of their communities. TRIO's graduates include teachers, engineers, physicians, mayors and Members of Congress.

I want to make three points today. First, TRIO is an important component of the Federal strategy of student assistance aimed at promoting educational opportunity. Second, TRIO programs work. Third, the consistency of TRIO program operations over time has improved the effectiveness of services for needy students.

TRIO, as you know, is included in Title IV of the Higher Education Act, along with student financial assistance. In 1965, when Congress first passed the Higher Education Act, leaders such as yourselves recognized that two sets of obstacles prevent low-income individuals from going to college. The first is the financial obstacles; equal burdensome are barriers ranging from lack of preparation to lack of family support and lack of awareness of postsecondary and financial aid opportunities.

Both sets of obstacles must be addressed simultaneously. By investing in TRIO, Congress protects the Federal investment in financial aid. Also, TRIO is student aid, not institutional aid. That policy context must be maintained during reauthorization.

Second, TRIO programs work. The results from recent evaluations of student support services and Upward Bound are strong. Student support services evaluation found that this program has a

positive effect on retention, grades and credits. Upward Bound students completed more academic courses in high school and enrolled in college at rates that exceed those of comparable disadvantaged students.

Such evaluations tell only part of the story. I want to speak about participants in the TRIO programs I have worked with and how TRIO has affected their lives.

Zadia Gomez sought help from Talent Search when she was a high school junior. She had no relatives or friends who had gone to college and did not know how to begin. Talent Search helped Zadia enroll in Suffolk University with financial aid. She graduated cum laude and now works at the Boston Housing Authority.

Alfred Tennyson, a young African American male, joined our Talent Search program 3 years ago as a 7th grader referred by a teacher because of low grades and family difficulties. His Talent Search counselor got Alfred a scholarship to attend Project Oceanography, a 2-week summer enrichment program. He enjoyed this experience tremendously, and his enthusiasm for learning carried over to school. He is now in high school, where he has made the honor roll every quarter.

Charlene Hollins first visited the Boston Educational Opportunity Center when she was about to be laid off from a major bank. A single parent with a young daughter and a 1972 high school graduate, Charlene had been out of school so long she did not know what to do. With help from an EOC counselor, Charlene attended Bay State College, transferred to a 4-year college, and now works as an escrow analyst with the Massachusetts Housing Finance Authority.

My former Student Support Services students at North Shore Community College include Mary Nelson, an AFDC mother with three sons, who earned a bachelor's degree in nursing and has worked as a surgical nurse at Massachusetts General Hospital for the past 10 years.

Peter Kaplan, a recovering drug addict and Mass Rehabilitation Commission client when he enrolled, recently completed a law degree and has his own practice.

Carol Maglin, totally deaf since early childhood, returned to college when she was 40, having been told by family that she could never work because of her disability. She transferred to Northeastern University where she earned an associate's degree in cytotechnology and now works at Tufts New England Medical Center.

The five Tran siblings, Vietnamese refugees who came to the United States in the early 1980's, all went on to earn bachelor's and master's degrees in engineering.

Third, improved TRIO effectiveness. Over the years, TRIO's services on campuses and agencies have constantly been reviewed and improved. A provision of the TRIO legislation, often referred to as "prior experience," promotes such improvements by providing the consistency and continuity that allow TRIO programs to develop tremendous credibility in their communities and to serve as a base for other college access services.

For example, in Boston, our Talent Search and Educational Opportunities Center programs have provided a platform from which

we have been able to leverage funds from the State, the city and area colleges to develop information outreach services throughout the Boston area.

Attached to my written testimony is a copy of the National Council's recommendations regarding reauthorization of TRIO. These recommendations are the result of 7 months of intense discussion within the TRIO community. As you are probably aware, there is great disparity in opportunity to graduate from college based on family income. Young people from families in the bottom income quartile, below $22,000, have only an 8 percent likelihood of obtaining a bachelor's degree by the time they are 25. this compares to a 78 percent likelihood for students from families with incomes over $67,000.

A major portion of this lack of degree attainment results from inadequate financial aid. Another piece equally important is adequate preparation.

Our recommendations underscore the importance of academic preparation for TRIO students and will increase the capacity of the programs to do an even better job with this aspect of our work.

Thank you.

The CHAIRMAN. Thank you.

[The prepared statement of Ms. Coles follows:]

PREPARED STATEMENT OF DR. ANN COLES

Mr. Chairman, Members of the Committee, on behalf of the National Council of Educational Opportunity Associations (NCEOA), I would like to thank each of you for your support of postsecondary educational opportunity in general, and of the TRIO programs in particular. Presently 1,900 TRIO programs are hosted by over 1200 colleges and universities and 100 community agencies across the country. They provide services to nearly 700,000 low-income, first-generation, and disabled individuals annually, students from sixth grade through college graduation. While the number of students TRIO programs serve is substantial, the programs are still serving less than 10 percent of the eligible students.

For more than thirty years the TRIO Programs—Educational Opportunity Centers, Talent Search, Student Support Services, Upward Bound and the Ronald E. McNair Post-Baccalaureate Achievement Program—have been helping low-income students to improve their lives by entering and graduating from college. It is estimated that over two million individuals who have participated in the TRIO programs graduated from college, moved out of poverty and are now contributing members of their communities. TRIO graduates include national leaders, from mayors, Members of Congress, and an astronaut to teachers, engineers, and physicians.

I would like to make four points today. The first is that TRIO is **an important component of the federal strategy of student assistance aimed** at promoting educational opportunity. The second is that **TRIO programs work.** My third point is that **the consistency of TRIO program operations nationally** and on individual campuses and agencies has allowed the development of an evolving strategy aimed at improving the effectiveness and efficiency of TRIO services. Lastly, I would like to discuss briefly **the NCEOA's recommendations for the reauthorization,** particularly those which will enable TRIO programs to assist more students in becoming academically prepared for college success.

1. *TRIO is an Important Component of Federal Student Assistance Strategy*

TRIO, as you know, is included in Title IV of the Higher Education Act, Student Assistance. TRIO actually consists of five programs—Talent Search, which provides college information and counseling to students in grades 6-12; Upward Bound, which provides high school students academic instruction on weekends and in the summer; Student Support Services, which provides tutoring, counseling, and instruction to undergraduate students; Educational Opportunity Centers, which help displaced works with college and financial aid information; and the Ronald E. McNair Postbaccalaureate Achievement Program, which encourages low-income and minority undergraduates to prepare for graduate study. The overall goal of the TRIO programs is to enable students who would not otherwise have attended college to enter college and graduate.

In fact, the first TRIO program authorized in the Higher Education Act of 1965, Talent Search was initially included in the same section as the first need-based grant aid—Educational Opportunity Grants, now Supplemental Educational Opportunity Grants. Very early, Congress recognized that there were two sets of obstacles which prevent individuals in our society from entering and succeeding in college. The first set, which is obvious to most observers, are the financial obstacles. The second set of barriers are equally burdensome for students. They include academic, social, and cultural barriers ranging from lack of appropriate academic preparation for college, to lack of family and peer support, to lack of knowledge regarding post-secondary opportunities.

Since 1965, Congress has wisely noted that both sets of obstacles must be simultaneously addressed and that, in investing in the TRIO programs, the Federal Government is protecting its investment in student financial assistance. Certainly both the legislative language and the history of TRIO is that it is **student aid** and not institutional aid. That policy context must be maintained during this reauthorization.

2. *TRIO Programs Work.*

In 1993 the Appropriations Committee approved a request from the Department of Education to begin evaluations of the long-term results of participation in the TRIO programs. The first results from evaluations of the two largest TRIO programs have been published—the WESTAT evaluation of Student Support Services and the Mathematica evaluation of Upward Bound. Both WESTAT and Mathematica are prominent education policy research organizations. The results of these evaluations are strong. After tracking 2,700 Student Support Services college freshmen and a matched comparison group of similar size for three years, the WESTAT evaluation concluded that Student Support Services is very well targeted on low-income, first-generation students with great need for support in order to graduate from college.

The evaluation also found that Student Support Services has a positive and statistically significant effect on three separate student outcomes—student retention, grades, and credits earned. Most importantly, since the legislative purpose of this TRIO program is increased retention and graduation rates, Student Support Services increased the likelihood of a student remaining in college through the third year by nine (9) percentage points, from 40 percent to 49 percent. This is particularly important given the fact that according to the National Center for Education Statistics, the likelihood that a low-income student who begins college will graduate within five years is only 28 percent. Based on the three-year retention rate, it is likely that a larger percentage of Student Support Services students will graduate within five years.

Results of the evaluation found that students' college grade point averages were increased by a mean of 0.15 in the first year, by 0.11 in the second year, and in the first 3 years combined by 0.11 (to 2.59 on a four-point scale). The number of semester credits earned was also increased by a mean of 1.25 in the first year, 0.79 in the second year, 0.71 in the third year, and 2.25 (to a total of 73.38 credits) in the first three years combined.

The findings of the Upward Bound evaluation, which tracked 1,480 students randomly assigned to Upward Bound and a control group of 1,320 students, were equally encouraging. Students in Upward Bound, for example completed 17 percent more academic courses in high school than the control group. They were more likely to sustain high educational expectations and their parents' educational expectations for them also increased. The initial report does not address Upward Bound students' enrollment in college because the students in this study are still in high school; however, other evaluations have shown that Upward Bound students enroll in college at rates that well exceed those of comparably disadvantaged high school students.

While we can look to evaluations to tell how the federal investment in TRIO is a prudent one, such studies and numbers only tell part of the story. I would like to briefly share with you the experience of several participants in the TRIO programs I have worked with over the past 25 years and how TRIO has affected their lives.

Zadia Gomez, daughter of a single mother from Puerto Rico, first sought help from **Talent Search** when she was a high school junior. She had no relatives or friends who had been to college and didn't know how to begin. With help from her **Talent Search** counselor, Zadia enrolled in Suffolk University with a financial aid package comprised of federal, state, and institutional money. While at Suffolk, Zadia worked first in the admissions office and then at Teen Empowerment, an off-campus work-study site. She also did an internship with the Governor's Alliance Against Drugs. For her last two years, Zadia received Suffolk's prestigious Trustee Ambassador Scholarship, awarded to only 10 students each year. Zadia graduated cum

laude with a B.A. in sociology and a National Minority Leadership Award. She now works at the Boston Redevelopment Authority as a social services provider. With Zadia's encouragement, her mother came to The Boston **Educational Opportunity** Center, which TERI also administers, and with help from an **EOC** counselor, is now pursuing an Associate's degree in Human Services at Bunker Hill Community College.

Alfred Tennyson, a young African-American male, began participating in **Talent Search** three years ago as a seventh grader, referred by a teacher because of low grades and other school difficulties. His mother had recently died, and he had moved to his aunt's. Sonia Gomez, his **Talent Search** counselor, got a scholarship for him and three other students to attend Project Oceanology, a two-week summer enrichment program on Boston Harbor. Alfred enjoyed this experience a great deal, and his new enthusiasm for learning carried over to school. He came to **Talent Search** for tutoring as well as support, and his grades began to improve. Alfred is now a freshman at West Roxbury High School, where he has made the honor roll every quarter. He enjoys school and continues to seek advice and encouragement from his original **Talent Search** counselor.

Charlene Hollins first visited the Boston **Educational Opportunity Center** when she was about to be laid off from a Boston bank after working there for 17 years. A single parent with a young daughter and a 1972 graduate of Hyde Park High School in Boston, Charlene had been out of school so long that she didn't know what her next step should be. A business school listed in the Yellow Pages referred her to the **Educational Opportunity Center.** With help from an **EOC** counselor, Charlene attended Bay State College for two years, won the President's award, and transferred to a four-year college program. After completing a Bachelor's degree in business administration in May 1994, she took a position as an escrow accountant at the Massachusetts Housing Finance Authority. She also recently passed her CPA examination.

I also want to tell you briefly about several of my former **Student Support Services** students at North Shore Community College.

Mary Nelson, an AFDC mother with three sons, transferred to Salem State College, earned a Bachelor's degree in Nursing, and has worked as a surgical nurse at Massachusetts General Hospital for the past 10 years.

Peter Kaplan, a recovering drug addict and Mass Rehabilitations Commission client when he enrolled at North Shore, recently completed a law degree, and has his own practice in Salem, MA.

Miguel Gonzalez, an immigrant from the Dominican Republic, eventually earned a Bachelor's degree from Boston College, then earned an M.D., and now works as a physician at a community health clinic in Lynn, Massachusetts.

Carol Maglin, totally deaf since birth, returned to college when she was 40 years old, having been told by her family that she could never have a career because of her disability. She transferred from North Shore to Northeastern University, where she earned an associate's degree in Cytotechnology, and she now works at Tufts New England Medical Center in Boston.

The five Tran siblings—four brothers and a sister—are Vietnam refugees who escaped by boat and came to the United States in the early 1980's. All five participated in **Student Support Services,** went on to earn Bachelor's and Master's degrees in engineering, and now are working—An Dao Tran as a biochemical engineer, Hip Tran as a manufacturing engineer, and the other three as electrical engineers.

3. *Improving TRIO Program Effectiveness*

The legislative history of the TRIO programs is, I believe, one of which Congressional leaders such as yourselves should be proud. From the information and advising strategy first envisioned in Talent Search have evolved multiple strategies, of varying levels of intensity at different points along the education continuum . TRIO services now begin as early as sixth grade in Talent Search and end as late as admission to a graduate program with the Ronald E. McNair Postbaccalaureate Achievement Program. Similarly, while early versions of the TRIO legislation reflect considerable concern with the Federal Government's administration and distribution of TRIO funds, today's legislation focuses on what TRIO programs actually do, including provisions ranging from a strict definition of eligibility, to definitions of the purpose of each TRIO program, to consistent descriptions of permissible services appropriate for each TRIO program.

Moreover, as the TRIO legislation has been examined and improved, so, too, are TRIO program services on individual campuses and in individual agencies constantly reviewed and strengthened. A provision of the TRIO legislation, often referred to as the "prior experience provision" promotes such improvement by assuring that the Department of Education maintains a system of accountability for each of the TRIO programs. Such consistency and continuity also allows TRIO staffs to de-

velop credibility on their own campuses and to serve as a base on which other services to low-income, first-generation and disabled students can be built.

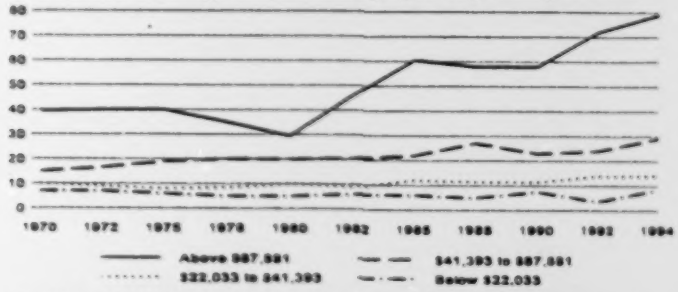
For example, at TERI, the Talent Search and EOC programs provided a platform from which we have been able to leverage additional funds from the state and city, 32 Boston-area colleges, and TERI. These funds were used to develop information outreach services located at the Boston Public Library for young people and adults throughout the Boston area, as well as a toll-free information hotline. A study skills workshop originally developed for the Student Support Services project at North Shore Community College became the model for courses developed by the business and marketing department curriculum, where substantial improvement has been seen in student achievement.

4. *NCEOA's Reauthorization Recommendations: The Importance of Strengthening Talent Search's Ability to Prepare Students for College*

Attached to my testimony is a copy of the full recommendations of the NCEOA regarding the reauthorization of the TRIO subpart. However, I want to draw your attention to a set of recommendations which I believe are particularly critical. These recommendations include a strengthening of the purpose statement of Talent Search to focus on academic preparation for college. These also include the addition of a legislative provision which would increase resources invested in each Talent Search student to allow such strengthened academic preparation.

Below is a familiar chart prepared by Thomas Mortenson, a senior scholar in NCEOA's Center for the Study of Opportunity in Higher Education. It shows the continuing disparity in opportunity to graduate from college in the United States based on income. As you can see, a young person from a family in the bottom income quartile (below $22,033) has only an 8 percent likelihood of attaining a baccalaureate by the time he or she is 24. This compares to a 78 percent probability for a young person in the highest income quartile (family income above $67,661).

Chance for College Graduation by age 24 by Family Income



One troubling facet of this data is that while we have made progress as a nation in increasing access to postsecondary education, we have not made similar progress in assuring that students complete the degree or certificate program in which they enroll. In fact, data from the National Center from Education Statistics in the table below indicates that among students in the lowest income quartile, attrition is particularly disturbing. Five years after enrolling in a postsecondary program, only 26 percent of those students in the lowest income quartile had attained a bachelor's degree.

Certainly a major portion of this lack of degree attainment results from inadequate financial assistance which forces students to stop out or to assume to heavy a work load while in college. However, increasingly data also points to the role of inadequate academic preparation in preventing students from reaching their goals and fulfilling their potential. An emphasis on incorporating academic preparation into Talent Search will address this issue in a significant way.

I would ask that the Committee consider all of the NCEOA's reauthorization recommendations which grow out of a seven month discussion period within our community. I appreciate the opportunity to appear before you today and would be pleased to answer any questions you might have.

Table 2.3a—Percentage distribution of 1989–90 beginning postsecondary students who began in 4-year institutions according to overall persistence and attainment of highest degree as of spring 1994, by demographic characteristics

	Highest degree attained				Overall persistence and attainment		
	None	Certificate	Associate's degree	Bachelor's degree	Attained degree	No degree, enrolled	No degree, not enrolled
	Students who began in 4-year institutions						
Total	39.6	2.9	4.2	53.3	60.4	15.2	24.4
Gender							
Male	43.5	2.4	3.9	50.2	56.5	17.3	26.3
Female	36.1	3.3	4.4	56.2	63.9	13.4	22.7
Age when began at first institution							
18 years or younger	33.6	2.4	4.0	58.0	64.4	15.3	20.3
19 years	33.2	4.7	3.0	40.0	47.8	16.7	35.5
20–29 years	63.2	5.3	6.9	22.5	34.8	12.7	52.5
30 years or older	76.5	7.9	6.4	9.2	23.5	11.1	65.4
Socioeconomic status							
Lowest quartile	66.5	2.8	4.9	25.8	33.5	17.4	49.1
Low middle quartile	46.2	3.7	5.0	45.1	53.8	17.0	29.2
High middle quartile	32.8	2.4	3.5	61.3	67.3	13.8	19.0
Highest quartile							
Race-ethnicity of student							
American Indian/Alaskan Native	—	—	—	—	—	—	—
Asian/Pacific Islander	32.5	3.7	1.7	63.1	67.6	18.5	13.9
Black, non-Hispanic	49.2	4.6	4.3	41.9	50.8	21.3	27.9
Hispanic	49.4	1.3	2.1	47.2	50.6	21.3	28.1
White, non-Hispanic	38.6	2.7	4.4	54.3	61.4	14.1	24.4
Marital status when began at first institution							
Not married	38.0	2.6	4.1	55.3	62.0	15.3	22.7
Married	63.2	8.9	6.4	19.5	34.8	11.8	53.4
Separated	—	—	—	—	—	—	—
Parental education							
Less than high school diploma	44.3	7.1	6.6	42.0	55.8	14.7	29.6
High school diploma	49.5	4.6	4.6	41.3	50.5	16.7	32.8
Some postsecondary	41.9	2.1	4.9	51.2	58.1	14.9	26.9
Bachelor's or higher	31.9	1.8	3.2	63.1	68.1	14.7	17.2
Dependency status in 1989–90							
Dependent	37.1	2.6	4.0	56.3	62.9	15.3	21.8
Independent	66.9	6.2	5.4	21.5	33.1	14.1	52.8
Income and dependency status in 1989–90							
Dependent							
Less than $20,000	47.5	3.0	4.9	44.5	52.5	18.2	29.3
$20,000–39,999	41.9	2.5	4.0	51.5	58.1	16.5	25.5
$40,000–59,999	35.2	3.3	4.1	57.4	64.8	15.5	19.6
$60,000 or more	27.8	1.7	3.4	67.1	72.2	12.2	15.6
Independent							
Less than $10,000	63.0	5.5	6.4	25.1	37.0	17.0	46.0
$10,000–19,999	60.7	5.8	3.0	30.5	39.3	18.1	42.6
$20,000 or more	76.9	7.5	5.2	10.4	23.1	7.1	69.8

—Too few cases for a reliable estimate.
SOURCE: U.S. Department of Education, National Center for Education Statistics, 1990 Beginning Postsecondary Students Longitudinal Study—Second Follow-up (BPS:90/94), Data Analysis System.

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Table 1.3b—Percentage distribution of 1989–90 beginning postsecondary students who began at 2-year institutions according to overall persistence and attainment of highest degree as of spring 1994, by demographic characteristics

	Highest degree attained				Overall persistence and attainment		
	None	Certificate	Associate's degree	Bachelor's degree	Attained degree	No degree, enrolled	No degree, not enrolled
	Students who began at 2-year institutions						
Total	61.6	13.8	18.6	6.1	38.4	13.6	48.0
Gender							
Male	65.4	13.0	16.2	5.5	34.6	16.2	49.2
Female	58.1	14.4	20.9	6.6	41.9	11.2	46.8
Age when began at first institution							
18 years or younger	53.2	9.9	25.8	11.0	46.8	14.7	38.5
19 years	66.8	13.6	19.3	0.2	33.2	17.4	49.5
20–29 years	68.8	18.8	9.9	2.5	31.2	12.0	56.8
30 years or older	72.7	18.4	8.0	0.8	27.3	8.4	64.3
Socioeconomic status							
Lowest quartile	68.1	18.1	11.8	1.9	31.9	9.6	58.4
Middle quartiles	63.1	14.9	16.6	5.4	36.9	14.8	48.3
Highest quartile	54.6	8.9	26.6	9.9	45.4	13.9	40.7
Race-ethnicity of student							
American Indian/Alaskan Native	—	—	—	—	—	—	—
Asian/Pacific Islander	62.4	15.0	16.7	5.9	37.6	23.0	39.3
Black, non-Hispanic	64.8	17.8	14.1	3.2	35.2	11.3	53.5
Hispanic	61.8	15.3	16.4	6.6	38.2	20.5	41.3
White, non-Hispanic	61.0	13.1	19.6	6.4	39.0	12.2	48.8
Marital status when began at first institution							
Not married	58.1	13.2	21.5	7.3	41.9	14.8	43.3
Married	71.3	16.5	9.7	2.6	28.8	8.5	62.8
Separated	—	—	—	—	—	—	—
Parental education							
Less than high school diploma	69.7	19.2	9.1	2.0	30.3	10.2	59.5
High school diploma	60.4	14.8	18.7	6.3	39.6	9.8	50.7
Some postsecondary	61.0	11.4	20.9	6.8	39.0	16.3	44.7
Bachelor's or higher	57.0	9.8	25.0	8.2	43.0	21.1	35.9
Dependency status in 1989–90							
Dependent	56.5	11.7	23.5	8.4	43.5	14.6	41.8
Independent	71.2	17.6	9.4	1.8	28.8	11.7	59.5
Income and dependency status in 1989–90							
Dependent:							
Less than $20,000	59.4	12.7	22.3	5.6	40.6	14.4	45.1
$20,000–39,999	56.0	13.1	21.5	9.3	44.0	12.6	43.4
$40,000–59,999	55.5	12.1	23.3	9.1	44.5	12.5	43.0
$60,000 or more	53.9	5.9	30.5	9.8	46.1	23.6	30.2
Independent:							
Less than $10,000	60.7	25.0	11.9	2.4	39.3	10.1	50.6
$10,000–19,999	79.7	11.1	8.7	0.5	20.3	13.5	66.2
$20,000 or more	76.6	14.1	7.3	2.0	23.4	12.2	64.5

—Too few cases for a reliable estimate.

SOURCE: U.S. Department of Education, National Center for Education Statistics, 1990 Beginning Postsecondary Students Longitudinal Study—Second Follow-up (BPS:90/94), Data Analysis System.

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NATIONAL COUNCIL OF EDUCATIONAL OPPORTUNITY ASSOCIATIONS

RECOMMENDATIONS FOR THE

REAUTHORIZATION OF THE HIGHER EDUCATION ACT

NCEOA
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41-502 97 - 3

INTRODUCING TRIO

Federal TRIO Programs help students to overcome class, social, academic and cultural barriers to higher education. TRIO services include: assistance in choosing a college; tutoring; personal and financial counseling; career counseling; assistance in applying to college; workplace and college visits; special instruction in reading, writing, study skills and mathematics; assistance in applying for financial aid; and academic assistance in high school or assistance to reenter high school or college.

As mandated by Congress, over two-thirds of the students served must come from families with incomes under $24,000 (family of four) where neither parent graduated from college.

Students enrolled in today's TRIO Programs mirror our nation's multi-cultural and multiethnic society. Forty-two percent of TRIO students are White, 35% are African-American, 15% are Hispanic, 4% are Native-American and 4% are Asian-American. Sixteen thousand TRIO students are disabled. There are more than 25,000 U.S. veterans currently enrolled in the TRIO Programs.

UPWARD BOUND helps students prepare for higher education. Participants receive instruction in literature, composition, foreign language, mathematics and science on college campuses after school, on Saturdays and during the summer. Currently, 681 programs are in operation throughout the United States.

STUDENT SUPPORT SERVICES helps students to stay in college until they earn their baccalaureate degree. Participants, which include disabled college students, receive tutoring, counseling and remedial instruction. Students are now being served at more than 707 colleges and universities nationwide.

TALENT SEARCH programs serve young people in grades six through twelve. In addition to counseling, participants receive information about college admissions requirements, scholarships and various student financial aid programs. This early intervention program helps young people to better understand their educational opportunities and options. Over 302,000 Americans are enrolled in 319 TRIO Talent Search programs.

EDUCATIONAL OPPORTUNITY CENTERS, located throughout the country, primarily serve displaced or underemployed workers. These Centers help people to choose a college and a suitable financial aid program. There are over 74 Educational Opportunity Centers in America serving 158,000 individuals.

RONALD E. McNAIR POST-BACCALAUREATE ACHIEVEMENT programs encourage low-income and minority undergraduates to consider careers in college teaching as well as prepare for doctoral study. Named in honor of the astronaut who died in the 1986 space-shuttle explosion, students who participate in this program are provided with research opportunities and faculty mentors.

The National Council of Educational Opportunity Associations

The National Council of Educational Opportunity Associations (NCEOA) is a nonprofit organization, established in 1981, dedicated to furthering the expansion of educational opportunities throughout the United States, the Caribbean and the Pacific Islands. Through its numerous membership services, NCEOA works in consortium with colleges, universities, community colleges and agencies that host TRIO Programs to specifically help low-income Americans enter college and graduate.

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NCEOA REAUTHORIZATION RECOMMENDATIONS

Following a lengthy seven-month process designed to gather input on various legislative options from counselors, instructors and administrators working in TRIO Programs, the NCEOA Board of Directors has submitted 13 recommendations on the reauthorization of the Higher Education Act, which authorizes our Federal TRIO Programs. In his letter to the Honorable William F. Goodling, Chairman of the Committee on Education and the Workforce, NCEOA Executive Director Arnold Mitchem said, "Fortunately, we are not proposing massive changes in a program that is broken or has lost its way. Instead, we are making proposals designed to help it [illegible]. And, as a result, we must emphasize that what TRIO needs most is not a change of direction but an infusion of support."

Our proposals have three themes.

Early preparation -- We need to ensure that sufficient early intervention services are available to low-income students and families to enable them to prepare for college.

Innovation -- We need to ensure that colleges and universities working with low-income, first-generation and disabled students explore a variety of approaches to increasing college entrance and graduation rates for these groups.

Accountability -- We need to clarify what services should be provided when and to whom, to ensure that a critical mass of services is made available to TRIO students. We need to be careful that TRIO programs are held accountable for what they should accomplish and not made responsible for that which is outside their sphere of influence.

EARLY PREPARATION

A study of Talent Search by NCEOA suggests that approximately one-third of Talent Search clients are now younger students. However, the types of services needed by these younger students are more complex and costly -- academic advising to ensure they successfully complete a pre-college curricula, mentoring to educate first-generation students on careers requiring a college degree, tutoring to support success in more challenging curricula and work with parents to ensure that they are able to -- -fforts higher educational aspirations for their children.

NCEOA's recommendations with respect to Talent Search are designed to address these challenges. Included is a recommendation that the purpose for Talent Search in the legislation be more clearly focused on preparation for college. To accommodate these heightened expectations, NCEOA also is recommending that the per client cost in Talent Search be gradually raised from its current level of $263 to $450 to allow projects to provide services necessary to adequately prepare disadvantaged youth for college.

INNOVATION

Given the substantial inequities in educational outcomes among young people based on family income, colleges, universities and families most commonly seek out new and better ways to serve TRIO eligible students. Many institutions sponsoring TRIO programs are presently working to identify non-federal resources to ensure that TRIO programs maximize resources or access to technology for low-income youth and adults. Other organizations hosting TRIO projects are exploring a variety of ways of encouraging more family involvement in students' educational programs and encouraging more community volunteers -- including TRIO alumni -- to work with TRIO students. We need to nurture and build upon these innovations.

Coordination Among Programs for Disadvantaged Students -- It makes no sense for TRIO projects to operate in isolation from each other or from other educational opportunity programs. On the contrary, educational, budgetary and efficiency considerations all argue in favor of encouraging maximum coordination. Today, however, the Department of Education actually discourages such coordination despite language in the statute intended to have the opposite effect. In fact, the Department usually requires that each separate TRIO project -- even if there is more than one at the same institution -- have its own full-time director and separate staff. This requirement hinders coordination with other educational opportunity efforts, delays the hiring of top-flight staff and reduces the program's overall efficiency and effectiveness. Instead, NCEOA proposes:

Language should be included in the law encouraging institutions to explore cooperative administrative structures to raise coverage of opportunities, where they exist, or effective coordination with other TRIO programs and with state- or institutionally-funded support programs that serve low-income, first-generation and disabled students.

Preserving the Addition of Work-Study Experiences in Upward Bound -- For a number of years, Upward Bound directors have reported that they have lost many promising young people from their programs who have been forced to choose between continued enrollment in a summer and after-school supplementary educational program and a major time commitment to part-time employment. By making a "work-study" component a permissible service in Upward Bound, the TRIO community is hoping to encourage experimentation with promising work-study models and, at the same time, reduce attrition. This innovation would greatly lessen the dilemma faced by many poor youth now being forced to choose between missing immediate financial contributions to their families and continuing to advance their academic interests.

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Encouraging EOCs to Promote the Transition from Welfare to Work -- Educational Opportunity Centers provide pre-college information and preparation services to adults, often women on welfare and displaced workers. Recently passed welfare measures put an even higher priority on such services. This recommendation calls for a gradual increase in per client cost from $157 to $300 to EOCs to enable them to provide more sustained educational services to individuals making transitions from dependence to independence through postsecondary educational programs.

Encouraging the Department of Education to Explore the Efficacy of Alternative Approaches to Delivering Educational Services -- Since the 1992 Higher Education Amendments, the Department of Education has been specifically authorized to conduct evaluations of TRIO programs in order to improve program effectiveness. The additional language proposed by NCEOA would expand this mandate to include conducting studies that investigate the efficacy of alternative and innovative methods of delivering access and retention services.

Strengthening the Promise from the McNair Program on Graduate Study -- The Ronald E. McNair Post-baccalaureate Achievement Program is designed to prepare low-income students for doctoral study. Regardless of the adequacy of their undergraduate preparation, McNair scholars continue to face the challenge of finding adequate funds for graduate study. For this reason, NCEOA recommends that students who have completed the McNair program be given preference in the awarding of any Title IX Fellowships targeted for disadvantaged students.

ACCOUNTABILITY

Because TRIO programs today reach such a small proportion of their target population, there is inevitable pressure to expand the number of programs and people served. However, in so doing, program quality may suffer and the level of services offered may be inadequate. The following proposals are aimed at clarifying what services should be provided and to whom; ensuring that a critical mass of services are made available to program participants; and better coordinating all TRIO services.

Adjust Minimum Grant Levels for Inflation -- Research on TRIO programs demonstrates that students who receive a comprehensive mix of support services -- counseling, tutoring, assistance in submitting college applications and other crucial services -- are more likely to persevere and obtain a full college education. In 1993, Congress reversed a decade-long decrease in intensity of services offered to individual students by establishing minimum grant levels. This recommendation would ensure that these levels are adjusted for inflation.

Modifications or Requirements for Veterans Upward Bound Programs -- Since the early 1970s, a subset of Upward Bound programs have offered displaced services to returning veterans prior to their enrollment in college. The suggested modifications would exempt these programs from core curriculum requirements, which may be inappropriate for adults, but which the legislation imposes upon Upward Bound programs as a whole.

Modifying the Requirements imposed on Institutions with Respect to the Awarding of Financial Aid to Student Support Services Students -- Since the original authorization of the TRIO programs in 1965, Congress has recognized the close linkage between student financial aid and TRIO. The former addresses financial obstacles to access and success in postsecondary education; the latter addresses non-financial obstacles. Congress believed that for many students the most efficient strategy was to combine a program of adequate student aid with adequate supportive services. This link was formalized in a requirement that institutions sponsoring Student Support Services projects offer each participant a package that included sufficient aid to meet their full need. However, more recently, we have seen declines in the purchasing power of grant assistance and a well-founded reluctance on the part of TRIO staff to encourage low-income students to assume unnecessary debt. Taken together, this has made the full aid requirement less advisable.

NCEOA is therefore recommending that the assurance that students be offered full financial aid be replaced by a mandatory award consideration with the same intent. At the same time, the regulatory requirement that defines an institution's efforts to maintain loan burdens at manageable levels as an award consideration would become statutory.

Providing Assistance and Sustained Support via the Ronald E. McNair Post-baccalaureate Achievement Program -- NCEOA is recommending two adjustments to ensure that the McNair program can recruit very qualified students and provide service to them as long as it is advisable.

NCEOA recommends that the stipend attached to a McNair research project be raised from $2,400 to $4,000. It also recommends that students could remain eligible for McNair in the summer following graduation from college and enrollment in graduate study.

If you have any questions concerning these recommendations, please call:

NCEOA
Larry Braverman
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(202) 347-7430

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Recommended Changes in the TRIO Chapter

Sec. 402A(b)(3) The minimum grant levels should be adjusted for inflation.

Sec. 402A(c)(6) Strike the final sentence and replace as follows: "The Secretary shall permit a Director of a program assisted under this chapter to also administer one or more additional programs for disadvantaged students operated by the sponsoring entity regardless of the funding source of such programs."

Sec. 402A(f) Strike "$650,000,000" and replace with "$850,000,000." Strike "1993" and replace with "1998."

Strike Sec. 402B(a) and replace with "(a) PROGRAM AUTHORITY -- The Secretary shall carry out a program to be known as Talent Search, which shall be designed to motivate and prepare eligible youth for success in postsecondary education and (2) to publicize the availability of student financial assistance available to persons who pursue a program of postsecondary education."

Insert a new paragraph following Sec. 402B(c): "(d) PER CLIENT COST -- In any year in which the appropriations authorized under this chapter exceed the prior year appropriations as adjusted for inflation, the Secretary should use 20% of the amount appropriated above the current services level towards bringing the per client cost to a minimum level of $650."

Sec. 402C(b) be amending by adding (10) "work-study positions where youth participating in the project are exposed to careers requiring a postsecondary degree" and (11) "special services to enable veterans to make the transition to postsecondary education." Renumber (10) as (12).

Sec. 402C(c) be amended by inserting after Upward Bound "where the majority of participants are not veterans."

Sec. 402C(e) be amended by inserting after August, "except that youth participating in a work-study position under paragraph (b)(11) may be paid stipends of $300 per month during June, July and August. Youths participating in a project proposed to be carried out under any application may be paid stipends not in excess of $40 per month during the remaining period of the year."

Sec. 402D(c)(6) be struck and a new paragraph added: "(f) AWARD CONSIDERATIONS -- In addition to such other selection criteria as may be prescribed by regulations, the Secretary shall consider the institution's efforts to provide sufficient financial assistance to meet each student's full financial need together with the institution's efforts to maintain loan burden at manageable levels."

Sec. 402E(c)(3) insert the following after section 487 "or accepted for a graduate program."

Sec. 402E(e) be amended by striking "$2,400" and replacing it with "$4,000."

Sec. 402F add "(d) PER CLIENT COST -- In any year in which the appropriations authorized under this chapter exceed the prior year appropriations as adjusted for inflation, the Secretary should use 20% of the amount appropriated above the current services level towards bringing the per client cost to a minimum level of $300."

Sec. 402H(a) insert after "In General-" "Of the amounts appropriated under this Chapter, the Secretary is authorized to use not more than 1% to make grants."

Sec. 402H(b) insert the following after postsecondary education, "Such evaluations should also include studies that investigate the efficacy of alternative and innovative methods of delivering access and retention services within TRIO."

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The CHAIRMAN. Thank all of you very much for very helpful testimony.

These programs are wonderful, first for those individuals whom they help, and second, to guide us in policy as to how we can improve the ability of low-income students and minorities to attend institutions of postsecondary education.

I know that when you are so pressed with so few resources that it is very difficult for you to give us the kinds of evaluations we would like to have; comparing those students that are served by the programs against those with existing needs that aren't being served, as well as examining the successes of the programs.

For instance, I know that a large percentage of low-income students do not make it through; they leave the programs halfway through. What kinds of records or evidence do you have that demonstrate, first, what the problems are and, second, whether you are doing better than the college and universities that do not have the advantage of your programs?

Ms. Coles, do you want to start, and we will go down the line.

Ms. COLES. Yes. With the Student Support Services evaluation, we found that their grade-point averages increased, the number of semester hours increased, and their retention increased into the third year of college, as compared to similar students who did not receive Student Support Services assistance.

The CHAIRMAN. What kind of study was that—who did it, and so on?

Ms. COLES. This was a study by WESTAT, which is a major national research policy group in Maryland, and they compared 2,700 Student Support Services students with students with a similar profile who did not participate in these programs and receive these support services.

The CHAIRMAN. Another purpose of TRIO and other programs was to help guide Congress and allow that knowledge to be more generally utilized. In other words, we would love to just expand TRIO programs, dump a few billion dollars into them, but the reality of that, as you know, is not very great.

How do we share that information, or what can we do to replicate the benefits of TRIO? What is necessary, Ms. Shiller, to help young people, so that we can perhaps duplicate the benefits outside the program as well as inside the program?

Ms. SHILLER. I would be glad to address that.

I think it is very important to use public engagement practices and to work very closely in partnerships with the schools and the communities. For example, I mentioned mentoring, which is a big piece of the NEISP program.

We also offer professional development for teachers and school counselors, who would like to take the work that we are doing and duplicate it in the schools. We have used Americorps volunteers to help with the work as well. I think that finding other resources and having really good partnerships with other dedicated practitioners who want to see the results is one way that has worked for us in Vermont.

The CHAIRMAN. Ms. Morgan, Mr. Griffin, can you help in this area?

Mr. MORGAN. I can. Through the Hispanic Association of Colleges and Universities, or HACU, we regularly meet together, and we share ideas across the Hispanic-Serving Institutions that are participants in this; we get involved very actively with the public schools throughout our region in attracting students. We do maintain the databases that it takes to know and understand how these particular organizations are being impacted with the materials and resources that we gain from this HSI grant.

We also share, through the preparation of teachers in the public schools, the material. As we attract and retain Hispanic teachers and then put them into the public schools, we can see the difference coming back to the institution with the public school graduates.

We have a strong database that we work at through HACU, and we work interactively with other institutions throughout the country that are Hispanic-Serving Institutions in these particular programs.

The CHAIRMAN. Thank you.

Mr. Griffin.

Mr. GRIFFIN. Senator, a study was performed by a professor at our institution. I do not have it with me, but I will see that it is in your office as soon as I get back to Wilberforce University.

The CHAIRMAN. I appreciate that. I cannot tell you how important this is, because we are going to be again under very strict scrutiny as we determine how to fund programs, and we will be asked why we should continue to fund programs that were looked upon—not so much in your cases—as being demonstration programs on how to do things successfully. So I want to get as much information as I can for the appropriations process so that we can justify the existence of the programs and hopefully justify expanding them, but also to let it be known how your experience with the programs can be utilized to help other institutions.

Senator Kennedy.

Senator KENNEDY. I think I will yield to Senator Reed.

Senator REED. No; please go ahead.

Senator KENNEDY. Thank you.

Thank you, Mr. Chairman, and I apologize—we are considering in the Judiciary Committee the violent juvenile offender legislation, which is a very important piece of legislation affecting young people. It is not quite the design that some of us might like, but that is another issue for another time. I do not want to repeat what has been said, and I apologize for missing the opening comments and look forward to the testimony.

Following along what Senator Jeffords has pointed out, for example, about dropouts in the Upward Bound program, have you concluded whether that is programmatic, or is that the way life is? For example, in some proprietary schools, we were concerned about whether these run-of-the-mill schools were just taking money under the guise of education and not really providing skills to kids, that they had high dropout rates and were still holding the money. We tried to address those issues. At the same time, there are some proprietary schools, like one I remember in the heart of Harlem that was only graduating 50 percent of its students, but that was a lot better than any other school was doing. They were providing

these skills, and these kids were working and getting decent salaries and moving along.

So these situations do not fall into easy classes. But just generally speaking, in terms of the dropouts in the Upward Bound program, how can you help us explain what is going on out there? For example, in Job Corps, we know we have the toughest kids to deal with, and they have a lot of problems, and people use those problems as a way to undermine the program. And just to follow up on what Senator Jeffords was asking, what is the best case that we can make in terms of being able to measure dropouts? How can we best respond to those who might say that this is a program that just is not making it?

Ms. COLES. I think one of the major problems the Upward Bound programs face is the need for an interest of students in employment and in working. The Upward Bound stipend of about $50 a month, I think, in the summertime is not nearly what a student could make in a week at a food service place.

What we are proposing in our reauthorization recommendations is that we add a work-study component to the Upward Bound program so they can receive a larger work stipend and also have the benefit of work that relates to helping them explore future careers and employment opportunities, which I think will also help them understand the importance of education for their future job opportunities. I think that that would really go a long way.

Senator KENNEDY. Well, the point you make on the $50 stipend is certainly understandable, but for example, we have School-to-Work programs that are trying to tie in academic training and skill training in some of the schools and are moving students into employment. How do you distinguish when someone says, well, if this is what you are trying to do, it needs to have more in terms of the skills training. Pro-Tech in Boston, for example, does well in terms of health services, some financial services, and tourist services. All the programs are moving slowly but really impressively along.

So how do we distinguish this program? Should we try to get closer coordination, or is it really meeting a different kind of need?

Ms. COLES. Well, I think that what Upward Bound does is provide much more intensive academic preparation, and academic preparation during the summer, with follow-up through the school year, than Pro-Tech and the other programs where students are working full-time. It sort of combines that with the kinds of quality work opportunities that Pro-Tech offers its students, which are very attractive to students and very educational.

Senator KENNEDY. Well, I think the point of continued development of education skills in the summertime is important. We have seen in Boston, again, a number of summer employment programs that do provide some continuing education skills, so those kids can come back in the fall and have a better opportunity to continue their educational experience in a more positive way.

So you think the educational experience and skills training they receive in the summertime is one of the principal strengths that they would lose if this program were not moving along?

Ms. COLES. Absolutely.

Senator KENNEDY. Thank you.

I thank the chair.

The CHAIRMAN. Thank you, Senator Kennedy.

Senator Collins.

Senator COLLINS. Thank you very much, Mr. Chairman.

I want to thank our witnesses for their testimony, which was very helpful.

One of the most inspirational conversations that I think I have ever had was with the African American Mayor of Lewiston, ME—I see some people nodding their heads who know him—who is now a State Senator, I might add, who grew up I think in Newark and then came to Maine through the Trio program or Upward Bound—one of the programs that you are talking about. And he told me it literally saved his life, that he is convinced that he would have been a victim of gang violence in Newark, which was the direction in which he was headed. And today, here he is a State Senator in the State of Maine, just an outstanding public servant—albeit misguided, since he is a Democrat—but other than that one little flaw. [Laughter.] It really made me understand first-hand the importance of these programs.

In addition, I was struck by Ms. Coles' comment that only 8 percent of students from families making less than $20,000 a year finish college. That reinforces the belief I have had for some time that the increasing gap that we are seeing in this country between the rich and the poor is an education gap, because if you look at the statistics of what people make who complete college versus only high school, the earnings difference is extreme. So I think we really need to focus on programs that are going to encourage people to get more education and thus improve their standard of living.

Having said that, however, I want to explore an issue with Dr. Morgan about where can we get the best bang for our buck to make that happen. In the 1996-1997 Minorities in Education Report of the American Council on Education, there are data that substantiate the information you have given the committee on the underrepresentation of Hispanic Americans in postsecondary education. But even more disturbing, this report indicates that the high school completion rate for Hispanic Americans is less than 60 percent, which compares to almost 90 percent for whites and African Americans. That is obviously a very troubling and alarming statistic.

Even more disturbing is the fact that high school graduation rates for Hispanic Americans have actually dropped since 1992 and are lower than they were in 1985. I certainly am a strong supporter of HSIs, and I do not question the need for more resources, but given the problem that we have in allocating resources, should we be increasing funding for Title III support for HISs rather than targeting or developing some programs that might increase high school graduation rates for Hispanic Americans?

Dr. Morgan.

Mr. MORGAN. One of the components of the HSI grants that we receive includes a reaching out into the public schools. We have some community colleges, for example, in San Antonio that are reaching down into the middle schools and the high schools with their distance learning opportunities, offering computer workshops and seminars for these lower-level public education students. And in each of the HSI grants with which I am familiar, there are com-

ponents that have us reaching out into the public schools, encouraging students to continue their education and to finish.

So my response would be yes, strengthen that component, strengthen that requirement for the colleges and universities to reach down into the public schools; help us work on getting the teachers there who will encourage these students; continue to emphasize that particular aspect of the developing institutions grants.

Senator COLLINS. Thank you. That is helpful to know.

When I go back to Maine, I make a point of going to elementary schools, because I think that that is where we need to get these kids, that if I wait to encourage them when they are in high school, it is almost too late; they are almost lost at that point. So that is where I am focusing my efforts. My goal is to visit every elementary school in Maine eventually.

Mr. MORGAN. Ms. Shiller mentioned the data that indicates that those decisions are frequently made in the 6th and 7th grades.

Senator COLLINS. Exactly, so I am pleased to hear that.

Ms. Shiller, I do want to ask you a question about the integration of these various programs. The NEISP program seems to have a lot of similarities with TRIO, and then it has sort of a Pell grant component to it in the scholarship. Do you think we could accomplish more with our investment if we incorporated the unique approaches of NEISP—we need a better acronym for that program—into Upward Bound and Talent Search? I would actually be interested in any comments that any of you might have. Are we trying to have too many different programs? Would it be better to consolidate them?

Could you address that, Ms. Shiller?

Ms. SHILLER. We can never have too many programs if we are only reaching 10 or 12 percent of the eligible population, and I think that there is strength in having a variety of different ways of serving students. That is a question that I have been asked before, especially since I have been involved in TRIO programs for 15 years, and we find that they are very successful in Vermont.

Adding NEISP to that was supplementing the strength of what TRIO already offers; supplementing it by enhancing partnerships with the State and with the scholarship component.

I do not feel that I am really educated enough to make a statement about the administration of these programs from a Federal perspective in terms of putting them all together. I certainly would not want to dilute the distinctive goals and objectives of any of these programs that exist. They all work, and I think it would be great to multiply and grow these programs so that we can reach more students.

But in a small State like Vermont, where we are serving the entire State through these programs, they really complement each other very nicely.

Senator COLLINS. Thank you.

I suspect my time has expired, Mr. Chairman.

The CHAIRMAN. I think so, yes. It was well-used, though, very well-used.

Senator COLLINS. Thank you.

The CHAIRMAN. We will turn the lights on now that I am going to the other side. [Laughter.]

Senator WELLSTONE. That is the kind of chair we are stuck with here. [Laughter.]

The CHAIRMAN. Senator Bingaman—who was the "early bird" today.

Senator BINGAMAN. I appreciate it, Mr. Chairman. Thank you very much.

Let me just follow up on this whole issue of dropouts at all levels of education. It seems to me we have a tendency around here to focus on programs rather than larger problem areas.

In my State, we have a very large Hispanic population, and of course, the statistics, as some have alluded to already, and I think Senator Collins just referred to them, for the Hispanic students are terrible as far as the number who drop out of school at early ages.

I worked with Secretary Riley on the appointment of his Hispanic Dropout Project Panel, which is still completing its report, and we hope that will come out soon. But I am persuaded that we really do need a national dropout prevention strategy which would look at students at elementary or middle school, through high school, and then into the programs that you are specifically talking about today, to try to identify a range of things that could be done at every stage to keep these kids involved, to get their parents to support them being in school.

I would be interested in any comments anyone has about whether there has been an effort to put together any such strategy. Is it all just focused on this program versus this program versus this program, or is there really an effort to look at the whole spectrum of needs that exist in order to keep these kids in school?

Dr. Morgan, do you have any thoughts on this?

Mr. MORGAN. Senator, I think there are probably a number of programs out there that are looking at—well, universities, for example, look at various components of the problem that you are addressing. I know that a number of institutions in Texas get involved in things like mother and daughter programs or father and son programs with elementary and junior high school students. It depends to a very great extent on where the institution places its emphasis and chooses to utilize its resources.

I know that in many instances, resources are limited, and we of course stretch those resources to the maximum extent available based on what the resources were provided for. So in terms of a coordinated effort, I am not sure that I could say, yes, sir, there is. I think we have institutions that are looking at those ideas, looking at those programs, making an effort to resolve them throughout the country, and we have some opportunities with Federal resources to expand those efforts.

Senator BINGAMAN. Does anybody else have a thought?

Ms. Coles.

Ms. COLES. As part of my work with TRIO in Boston, I am very involved in Superintendent Paizant's "Focus on Children" agenda and his reform efforts to reform the whole schools. The reason I am involved is because of my TRIO experience and what I have learned in the successes of TRIO contribute to the development of that agenda.

We are now moving closely to see how we can work with teachers and families based on these experiences to engage them more and to work on a coordinated strategy. So this is one piece of it.

Senator BINGAMAN. Maybe you went over this before, but does any of the funding in the TRIO program actually go to assist students who are still in middle school or high school?

Ms. COLES. Yes. We start working with students in 6th grade and work with them up through high school graduation and college graduation.

Senator BINGAMAN. And how many schools do TRIO funds actually allow us to assist?

Ms. COLES. How many public schools?

Senator BINGAMAN. Yes.

Ms. COLES. In Boston, we have two Talent Search programs working in all 20 high schools and 10 middle schools, and that is true across the country. I think in Vermont, Linda can speak to a large number.

Ms. SHILLER. Yes. In Vermont, our TRIO program and also the Talent Search program works in every high school and provides informational services to every middle school.

To answer your first question about coordinated efforts for dropout prevention, I think one of the things that TRIO does really well is it helps to coordinate and identify different resources and ways to solve the same problems.

Again, in Vermont, I work very closely with the Department of Education and their School-to-Work program, and the Department of Employment and Training. All of these programs and agencies—they are not all programs; they are agencies—are looking at the same end goal, to get our young people better prepared for the work force and to give them the education and training.

We have work force development boards, work force investment boards, that work together, and there are TRIO personnel and NEISP personnel all there, focusing on the different populations at different ages to make sure they are successful throughout their school experience.

Senator BINGAMAN. Well, Mr. Chairman, I know my time is about up. In spite of all the programs and all the efforts, the problem is enormous and continues to get worse, as far as I can tell, in many of our communities. In my State, 40 to 50 percent of the Hispanic students will drop out before they complete high school, and we are a very long way from reaching the goal that we set out in 1989. It is now 1997, 8 years later, and as far as I know, we have made very little progress toward the goal of having 90 percent of our kids complete high school within 4 years, which we all said prayers over when it was passed, but nothing much has happened in my State to really move us there.

Thank you, Mr. Chairman.

The CHAIRMAN. Senator, I think you have made a very important point. We have got to learn from these programs and find out how to solve the problems that you speak of. This is the same difficulty we have across-the-board with training programs and so on—we have been running them, but we do not utilize them as we should to plan strategies.

Senator Reed.

Senator REED. Thank you, Mr. Chairman.

I want to follow up on some questioning that was raised in Senator Kennedy's comments and Dr. Cole's about Upward Bound and work-study. I believe one of the principal reasons people leave Upward Bound and other programs is simply to work; they cannot afford to continue with their education. And the National Council of Educational Opportunity Associations has proposed that we open up some variety of work-study.

I have a few detailed questions if I may. What jobs do you think would be acceptable in the context of work-study for Upward Bound?

Ms. COLES. I would think they would need to be jobs that would help students explore career interests and career goals. One of the reasons the programs Senator Kennedy spoke about in Boston have been so successful is because they have students working in financial services, in hospitals, in settings where postsecondary education is an important prerequisite, so students can really understand experientially why going to college is going to help them.

Senator REED. So you would really assume that jobs would be located—many of them—off campus, in real world experiences? That would be the ideal?

Ms. COLES. Yes, or on campuses and major universities, there are lots of similar opportunities—research laboratories, hospitals, all sorts of programs—but yes.

Senator REED. How would you anticipate financing this? Would there be a match by the institutions involved?

Ms. COLES. I think that that would be one way to do it, a match by the employer, yes. I think that that certainly could be an approach. I think the difficulty we may run into is the difficulty with School to Career in Boston where, now that more students want to go into it, we need more employers to come on board, and we are struggling with that right now. So that is sort of a piece that would have to come along.

Senator REED. And if we were to authorize or direct that work-study be opened up, would this be in addition to the amount of money we already spend for Upward Bound students—I guess it is about $3,800 per person. Would you see the work-study requiring additional resources from the Federal Government?

Ms. COLES. I think it would require some additional resources. I think there may be a way to structure it to leverage some of those resources from the community or some of the youth employment programs. Some TRIO programs in the past have done that; with the JETPA youth employment they have partnerships. But I think it would require some additional resources.

Senator REED. Just a final question which goes to the whole area of the TRIO programs—which, by the way, are extraordinarily effective in Rhode Island. We have a wonderful program at Rhode Island College, which is the principal locus of the program, and it is doing a great job. It is reaching out, as Senator Bingaman asked, to all the high schools and all the middle schools in the State, and we are very pleased and proud of it.

We all understand how constrained the resources are. Are there any ways that you would suggest to us that the TRIO programs

could make the dollars go a little further, or are we really talking about increased resources to TRIO to sustain our effort?

Ms. Shiller, that is one right over the plate, nice and chest-high, so just hit it. [Laughter.]

Ms. SHILLER. You also have a very good NEISP program, too.

Senator REED. Yes, that is right. Thank you for reminding me.

Ms. SHILLER. In terms of TRIO, I think we stretch our resources really well, and again, if we really want these programs to work, and we want to spread out and try to reach more students, then obviously, we would need more resources to do that.

I think from the several TRIO directors I meet with on a regular basis, we all ask how can we do that, how can we get money from the community, how can we raise money to provide this service. We are really doing that and doing it well in many ways.

So I would also agree that, yes, we need to be very careful how that money is spent, but in order to increase the service, more resources are definitely needed.

Senator REED. Ms. Coles.

Ms. COLES. I think that the TRIO resources do, as they have in Boston, leverage money from other sources. Part of TRIO is to work with institutions and help them institutionalize these programs and expand their commitment to serving low-income first-generation students. As a community agency in Boston, we do not do Student Support Services, but we have been able to engage 17 colleges in improving their retention of Boston public school graduates specifically for the TRIO students that we are sending them, using their resources or resources they are raising and the experience we have from our Student Support Services colleagues.

Senator REED. Let me suggest as others have that as we go forward, we need to document some of these good experiences, particularly I think what you have referred to Ms. Shiller, as the efforts by local TRIO programs to engage the business community and pull in resources there, because as I have come to respect over the last few years, if we can show that these Federal programs leverage private resources and engage corporate citizens and private citizens to participate also, that is a strong, strong plus for any program.

Yes, ma'am?

Ms. SHILLER. I would like to give one example which I think is probably very unique. In Vermont, the TRIO programs through VSAC hosted two career expos, one in the northern part of the State and one in the southern part of the State. We had over 300 employers attending these career expos, and Vermont is a small State, but we had over 10,000 students, middle school through high school seniors, attending these career expos. That was a TRIO effort working with the local school systems, with the School-to-Work effort, and with Department of Employment and Training to make that happen.

Senator REED. Thank you all very much.

Thank you, Mr. Chairman.

The CHAIRMAN. Senator Wellstone.

Senator WELLSTONE. Thank you, Mr. Chairman.

First, let me thank each of you, and I am sorry to be delayed. I guess the questions I will raise, any of you can answer, if that is okay, and I thank you for being here.

First, one Minnesota comment. Not that long ago, we were really in a battle here to save TRIO; it was not clear that we were going to go forward with it. What really impressed me about what happened in Minnesota, Mr. Chairman, was the number of students I heard from—really very empowered to talk about their own experiences and talk with such conviction about how important this program was. And what also was really impressive to me is that you can always say, well, different staffs will fight to maintain their own programs, and these are their jobs, but I have never met a more fired up group of people, more passionate, with—I would say to my colleague from Rhode Island—better, more inspiring specific stories of success. In a way, the real tension of it all and the real threat just brought out the best in people. It is just a phenomenal program.

I was thinking about the remarks of Senator Bingaman and Senator Collins, and it occurred to me that—and I think Senator Collins is right, and I was a teacher, so I am biased about this—but she said she is becoming convinced that more and more of the economic gap is really an education gap. And of course, as we see an economy relying more and more on brain power industry, small and large businesses, I think that that is the case.

It occurs to me that the education gap, the learning gap, however, is much more highly correlated to income and race and gender than we want to admit right now in our country. I think that part of what is going on in some of our States is that the high school dropout rate is still way too high, but I do not think it means TRIO is not working; I think TRIO tends to be an oasis sometimes in the middle of the desert, because if you look at the level of funding, frankly, this is a mere skirmish in terms of the kind of commitment we really have to make.

So in many ways, I see TRIO as a direction if we were really committed to this in terms of recruitment and being out there in schools, and also, once students are at colleges and universities, making sure they are able to graduate and deal with that dismal figure of a flat 8 percent graduation rate since 1979, much less the issue of affordability, where I think we should expand Pell grant.

But I just want to make that point loud and clear. In many ways, I think so much of this gets back to not just elementary school, but whether kids come to kindergarten ready to learn. And Mr. Chairman, we have had this discussion before, but we are going to have to stop having these hearings—no—the hearings are great—but we are going to have to act on the hearings. The hearings are great, but the point is that until people start making the investment, it is just not going to happen.

It is just crystal clear. The evidence is staring us in the face, and we cannot cop out by saying we do not know what to do; and TRIO cannot do it all.

One specific question on the welfare bill. I am a little worried, with the 20-hour work requirement and going to school not being counted as work. How is this affecting some of the students who are involved in TRIO as to whether they are going to be able to

stay in colleges and universities? Do you have any feel for that yet, as to what is going on around the country?

Ms. COLES. If I can respond, we are finding welfare recipients very reluctant to come and talk to us about going to college until it is clarified that they can count college toward that 20-hour work requirement.

I have heard the same thing from people in New York State, where they now have reduced the amount of time welfare recipients can spend in training to 24 weeks from 1 year.

I have seen so many welfare recipients graduate from college and do so well, and their children then do well, and they contribute so much.

Senator WELLSTONE. Yes. Well, Mr. Chairman, I mention this because I think we ought to really do a very, if you will, rigorous analysis of what is going on, because what I think is happening in all too many States is that there are these work requirements, that 25 percent of them have got to be working in the first year, 50 percent by the next 5 years; everybody gets dropped after 5 years or 4 years or 3 years, depending. And what is happening is that being able to be a student is not counted as work, and a lot of these mothers are being driven out of the very thing that we are trying to do through TRIO, which is to enable them to get an education to get a living wage job.

So, as opposed to their really being able to go from welfare to work and be able to support their families, they are not going to be able to. And somebody just ought to be honest about what is going on around the country on this question.

Does anybody else have any comments?

Mr. MORGAN. I mentioned in my testimony the fact that we count for HSI qualifications the full-time enrollment only, and that is not at all reflective of what Hispanics do. Hispanics are going to school part-time, and consequently, we have institutions that are not qualifying for these resources as a result.

Mr. GRIFFIN. Another area, Senator, as far as TRIO is concerned, is that on our campus, we realize that our students have certain problems that we need to deal with, and a lot of our institutional aid is geared toward trying to solve some of these problems, such as counseling services, male and female rights of passage programs. All of these things are instrumental in our seeing that our students succeed and get through college.

Ms. SHILLER. In Vermont, our TRIO program is specifically designed to work with adults. The EOC program has a relationship with the welfare department in Vermont. It has a Reach Up program that is basically there to encourage adults on welfare to continue in education and training.

The relationship that we have with the Department of Social Welfare is that any adult on welfare who wants to continue his or her training and education must meet with one of our counselors to work on a solid education plan. So they are getting the support of TRIO, they are getting the support of the financial aid agency in the State, and they are getting the support of their caseworkers.

Senator WELLSTONE. And can they do that for, for instance, 2 years of community college and not have to be working, or are they going to have to work——

Ms. SHILLER. Right now, they can, because Vermont basically started its welfare reform earlier.

Senator WELLSTONE. Good for Vermont. I do not think that that is the story in a lot of other States.

The CHAIRMAN. We are a special place. That is the point we wanted to make.

Senator WELLSTONE. Yes, you are right up there behind Minnesota. [Laughter.]

Thank you, Mr. Chairman.

The CHAIRMAN. Senator Murray.

Senator MURRAY. Thank you, Mr. Chairman. Thank you for this hearing, and I thank the witnesses for their excellent testimony.

Linda Shiller, let me begin with you. First of all, thank you for mentioning Washington State in your testimony as one of those States with a community-based NEISP program that really produces a lot of success stories. We are very proud of it. I have a question for you about a concern I have, and that is that I think it is very important that we encourage young people to get their degree. I think it is also very important to recognize that vocational schools and other career paths are just as important for some students.

How do we make sure that we do not just say the only way you are going to be a success is if you go to a 4-year school and get your degree; how do we make sure we encourage young people to choose the path that will work best for them and encourage them to pursue vocational careers if that is what is appropriate for them?

Ms. SHILLER. I think it is basically the way we put the message out. What we do is we refer to any postsecondary training and education as opportunities for students. I mentioned the career that we have and the mentoring programs and the work site visits. There are many ways that students get an opportunity to see what is out there. Our tech centers work very closely with the college systems to provide articulation agreements so they can start out at our tech centers and then continue their education from their and earn college credit while they are still in high school, attending the tech center.

So I think that having those articulation agreements and letting students and the people who serve those students know that our intent is not just to offer these services for students who only want to attend the 4-year college.

Senator MURRAY. So you think the NEISP program has enough flexibility and variety of options that we can make sure everybody has the best career path for themselves?

Ms. SHILLER. Yes, and certainly, one of our counselors your State, which hosted the visit, and what was happening there was amazing. It was wonderful to see the opportunities that students in your State have through that program.

Senator MURRAY. Thank you.

Dr. Morgan or Mr. Griffin, you have Title III strengthening institutions, and we have one, Olympic College, in Bremerton, WA. One of the things that has happened there is that we have a lot of older-than-average students. In timber communities, the economy is changing, and people halfway through their lives are going back to school. Can you comment on your schools' ability to deal with re-

training adults who never expected to have to change their careers mid-course?

Mr. GRIFFIN. At Wilberforce University, we do have one of our activities geared toward exactly what you are speaking about. It is Activity 6, which is retraining and educating our adult population. What we try to do in this particular area is bring the students in, and the qualifier is that they have at least 2 years of college, and we then go on and provide them with the educational resources to allow them to get a degree in evening classes, weekend classes. It will not, in other words, hamper the time when they must work to support their families. So we do have something geared toward that area.

Senator MURRAY. Mr. Morgan.

Mr. MORGAN. We are doing the same sort of thing. Almost 50 percent of the students at Sul Ross happen to be what we call nontraditional students—that is, they are either single parents or their are older than the traditional college age or what-have-you. We are also deeply involved in such programs as weekend format courses, night offerings, distance learning opportunities. We are teaching courses by two-way interactive video into remote areas not just for the public school students and not just for the public school teachers, but also for the adults in the community who can come in and participate in those two-way interactive courses at all levels, graduate down through freshman-level courses.

Senator MURRAY. Thank you.

One other quick question, Ms. Coles, for you. While we are talking about reauthorization, there are still some people who are talking about consolidation of the TRIO programs and the State formula grants. Can you give us your opinion on what impact that would have on the program?

Ms. COLES. I am very wary of that approach because I think the good thing about the way the TRIO programs are administered now is that the dollars go directly from Washington to the local programs, and we are very, very accountable with the TRIO regulations for how those dollars are spent and how the services are provided. We do not get as much as we need, as you have heard, so we have to be really careful with what we get.

I think that if we went into a block grant situation like I have seen with some other Federal programs, there is a lot of time spent in regional councils and subsets of regional councils and these elaborate distribution formulas, and the money that finally filters down is a lot less, and the whole purpose is diluted and not as clearly focused.

So I would be very, very concerned and would strongly recommend that the current funding approach be maintained.

Senator MURRAY. Thank you.

Thank you very much, Mr. Chairman.

Senator Dodd.

Senator DODD. Thank you very much, Mr. Chairman, and my apologies to the witnesses for not being here at the outset of your remarks, but I thank you for being here.

Mr. Chairman, I would make public note of the fact that your witness from Vermont was educated in Connecticut, since we are all trying to establish our links and ties here.

The CHAIRMAN. Linda, you never told me. [Laughter.]

Senator DODD. In fact, I just gave the commencement address at Southern Connecticut State University, 7,000 strong. It was a great commencement exercise at a terrific institution.

"Red" Adante—I cannot call him "Red" in public—but I have known him for years. He is the president of Southern and has done a great job at the school. So it is a pleasure to have all of you here, but I particularly welcome you, Linda.

Mr. Chairman, I am going to ask unanimous consent that my opening remarks be included in the record.

The CHAIRMAN. Without objection, certainly.

[The prepared statement of Senator Dodd follows:]

PREPARED STATEMENT OF SENATOR DODD

Mr. Chairman, I appreciate your calling this hearing continuing our examination of issues in the Reauthorization of the Higher Education Act.

For over 50 years, Federal higher education policy has been focused on one goal—increasing access to post-secondary education. Our policy is based on the knowledge that higher education benefits the individual as well as helps to grow a stronger economy and nation by increasing worker skills.

Our chief means of putting college within reach of all Americans has been our Federal student financial aid programs. From the GI Bill in the 1 940s to Pell Grants and student loans today, Federal aid has met the tuition bills of millions of students.

But money is not the only barrier students face when contemplating postsecondary education. For millions of students, paying for college is just the last of many hurdles. For many, their expectations, though not their capabilities, may be low. Others are unaware of Federal financial support or how to apply for it.

This is where the TRIO programs come in. TRIO programs, like Upward Bound and Talent Search, identify disadvantaged secondary school students with potential for success in college. They assist them in completing high school and help them enter and complete post-secondary education. Services range from academic tutoring, mentoring, and summer sessions on college campuses to assistance in completing admissions applications and filing for Federal financial aid. These are core activities that introduce first-generation college students to the possibilities of post-secondary education.

In a mammoth reauthorization like the one we face with the Higher Education Act, it is easy to get lost in the details and lose sight of the real people involved. For any of my colleagues who might suffer from this momentary fatigue, I would urge them to meet with TRIO students.

These are kids who did not grow up with the belief that the doors of opportunity were open to them. Their parents did not attend college and most are from poor inner city communities far from ivy-covered college walls. But with TRIO, suddenly the doors are swinging open right in front of their eyes. They not only see the possibilities of postsecondary education but also believe these possibilities are within their reach. Beyond TRIO programs and the National Early Intervention Scholarship and Partnership program

which is very similar but runs at the State level, the Higher Education Act also provides support for those institutions which serve under served populations. Title III of the Higher Education Act provides assistance to historically black colleges and universities and Hispanic-serving institutions. These institutions have a strong commitment to serving students populations who have much lower levels of participation in college than others.

Mr. Chairman, I look forward to today's testimony on how we can improve all of these programs and provide more students with access to college.

Senator DODD. This is a great hearing, and I really thank you for holding it. I have always said to my colleagues that one thing they can do to really bring home this issue is to meet with TRIO students. I think if students just do that, everything else can be pretty much put aside, and no one has to worry about heavy lobbying. I have never met anybody who has met TRIO students who was not impressed with them, impressed with the program and what it did.

So I strongly urge that, around the country, those who run these programs invite Members to come to a college and meet TRIO students. I do not know a single Member of this body of the U.S. Senate who would not accept—if they can do it and their schedules permit—such an invitation. You know, your eyes can glaze over talking about this stuff. All of you know these acronyms and titles and programs, but Members of Congress are dizzy from it. Literally, every day, we are bombarded with information from various Federal agencies and groups and one can get lost in all of this.

So I think the best thing you can do is to get Members of Congress to visit. Most Members of Congress enjoy going to college campuses—they find it exhilarating and interesting. There is nothing like the chance to meet students who are involved in these programs and listen to them talk about how they got involved, why they are involved and what the background of their families are. You not only get people to support you, but you end up with champions. It is a very simple thing to do, and it makes a huge difference. I know I enjoy it every year when they come down.

I would like to just raise two clusters of questions. I know the business issue has been raised, and I applaud getting the business community involved. But there is another partner we must involve in this effort. This week, there have been a lot of sports on television. I stayed up way too late last night watching the Jazz lose to the Bulls, and as someone who started playing golf a few years ago, I am fascinated with the U.S. Open here in town this week.

Last night they showed some replays of Lakers-Celtics championship games a few years ago. The Lakers won this particular championship series against the Celtics, and Magic Johnson made the last shot, and it was one of those sweeping sky hooks of his that won the game in the last seconds. And Magic Johnson was being interviewed, and he said that all his life, he had dreamt of making the final shot to win the game against the Celtics.

I also recently heard an interview with the fellow who was the most valuable player winning the Stanley Cup for the Detroit Red Wings. He was quoted last night as saying that all his life since he was 4 years old, he had dreamt of holding the Stanley Cup.

I do not know how many interviews I have read of Tiger Woods, talking about how his father had taught him how to hit a golf ball and so forth.

My point is this. Kids begin to dream early. We are finding out with all this early childhood development research that a lot of things happen a lot earlier in a child's life than we ever thought. I would like to see us start to urge that we start talking about this not so much in high school; we have got to begin at the earliest stages. People ought to be dreaming as much about a college degree as they do about winning the Stanley Cup or making the final shot in an NBA basketball championship game.

And if we can figure ways to start instilling at the earliest stages of a child's life the importance of achieving all of your educational potential throughout your life, I think it will begin to change early on.

I am worried that going after these students even as freshman in high school level, you are already late. And this is where the media can be involved. I think we ought to make more of an effort. I wish we could get in a room for a week the geniuses who write the spots for Nike and so on and talk about how they convince people to buy a sneaker. I mean, how much difference can there be between one sneaker and another?

Why can't we use the same genius to help us develop advertising programs through public service announcements that begin to sell to the young child the notion that he or she ought to dream about getting a diploma, about going on and getting a master's degree, about solving a problem that will make a difference in the world in which they live?

It seems to me we have got to do that, and this is what TRIO is really all about; it is taking people who do not think they can dream this way, never had anybody tell them how good they were and helping them dream and achieve. How many interviews have we heard of someone who has achieved some great success, and when they are probed about how did it happen, they say, Well, my mother, or my father, or both parents, told me early on there was nothing I could not do? That line has been used so many times. But too many of today's children, of course, never had anybody tell them there was nothing they could not do. They were told in effect there was not anything they could do.

So I would like to urge you—and maybe you have some suggestions on how that can be done—but I am convinced that there are people of good will who would be willing to give their services to help us develop these campaigns and to start them focused and targeted at young, young audiences. We obviously need to do what we can in high schools. I have worked with Upward Bound for years. It is a great program, and it is really worthwhile. But we need to begin earlier so that kids start dreaming about this stuff, so that just as they dream about athletic achievements, they will start dreaming about academic achievements. There is no reason why that cannot happen.

Second—and I will end on this note, and you can all respond—I am very interested in talking about barriers. One of the major barriers I worry about—and this gets a little afield of the programs here, Mr. Chairman, but I cannot resist asking, because I am sure

you deal with students all the time—is university-based child care. We have welfare-to-work now. As Senator Collins pointed out, and I think all of us here agree, we have economic opportunity directly linked to educational opportunity, and yet we see a lot of single parents, the nontraditional students, as we call them. We need to get more support for institution- or school-based child care programs so that people can have one other barrier eliminated—not only the financial barrier and inducing people to come, but if you do not have someplace to place your child, in a relatively low-cost environment if you are a student, that is going to be a major barrier to attending for a lot of people today. So I would be very interested in your thoughts on that.

The chairman may know that Senator Snowe and I are going to be introducing a bill in the next few weeks to focus on supporting university-based or college-based child care. I would be interested in your comments on that.

I apologize for making this a rather elongated question, but I would be interested in your responses.

Ms. COLES. One of the most exciting aspects of Talent Search for the past 6 or 7 years has been our capacity now to work with students as young as 6th grade. We have a special variation of that in Boston called Kids to College, where they develop the kind of dreaming you are talking about. We have them research careers, and each child develops a little business card with his or her own name on it, what degree they have, what their business is; and then they come in the following week dressed up as the person in that job. This is before they visit the college. So I think it is very exciting.

In terms of the media, I think that behind the media, there have got to be places that can really support and nurture kids' aspirations and help them to achieve those aspirations.

Senator DODD. Thank you.

Linda.

Ms. SHILLER. I would like to read you some things that some of the 8th graders wrote who participated in both the TRIO and the NEISP programs. The question was, "In what ways has this program affected your thoughts about your future?"

Here are some of their responses.

"It made me realize I have something to fall back on in case I do not get to be what I want to do."

"I know I want to be a lawyer, and I have to work hard to be one."

"I learned I would have to use my money resourcefully to succeed in life."

This one, you will enjoy: "It has affected me a lot because not only have I found my dream career as being a politician, but I realize how many choices are out there."

"This has helped me because now I know I really want to go to college, and I have to get good grades in school now."

"I have been thinking about college and other things because my counselor helped me to see my talents."

"I want to go to college now. It lets me know I cannot just goof off during school, and it makes me want to go to college."

I can read you hundreds of responses like this. This is after 2 to 3 years of intervention in Vermont. We start in 5th grade with a program called Career Adventure for the NEISP program, so a lot of this is adventure-based and experiential, to get kids to relate what is going on in their lives to the real world.

I think that when the TRIO programs did start backing off in terms of serving young students, it made a tremendous difference. What happened to us years ago was that we would start working with juniors and even seniors who realized, "Ah, I can do it. I do want to go to school," but they did not have the academic preparation and the information.

So you are right when you say get to the younger kids, and that is what I think we are doing very successfully.

Senator DODD. By the way, when I was talking about Magic Johnson and the MVP——

The CHAIRMAN. Well, as long as you got to the Celtics, it was all right. [Laughter.]

Senator DODD. But there is nothing wrong with those dreams, by the way. They are wonderful dreams, and they are contagious, and I think all of us as kids—and now with women today as well, with the beginning of the women's NBA about to start, it is happening—but as kids, I am sure we all saw ourselves shooting shots or hitting baseballs and so forth. And I do not fault them for that, and I hope I did not come across as saying I am disappointed. I am just saying we ought to be able to copy that and expand that. Certainly I did not have dreams as a kid of winning an amendment on the floor of the U.S. Senate. I do not know what this 8th grader you are dealing with up in Vermont is thinking of, but it is nice to know there is one child in America dreaming about being a politician. [Laughter.]

The CHAIRMAN. Probably the only one.

Senator DODD. I cannot imagine where that child has been living and in what circumstances. But anyway, I appreciate that.

Dr. Morgan.

Mr. MORGAN. I would encourage you with your institutional-based child care, because that is a principal issue that impacts a large number of especially the adult student, the single parents and others who come to school. That is an issue that we talk about a lot, and we have not been able to solve that problem at my institution, but it is one that students bring to me on a regular basis as far as their needs and things that can help them stay in school and help them be successful.

Senator DODD. Thank you.

Mr. Griffin.

Mr. GRIFFIN. Yes, sir. We have some institutions within the HBCUs that do have child care programs—at Baldwin College, Saint Augustine's and also Saint Paul's—and I am quite sure there are others. But we are looking at that problem, and I am hoping that eventually, we will get to all of our HBCUs.

Senator DODD. That is good. It really is a major hurdle for people. There are ways it can be done. Trinity College in Hartford has a very good child care program that is community-based, right on the edge of the campus, where students who are involved in academic programs, childhood development programs, work as child

care workers there. So they serve the community, they serve students who are at Trinity. It is not exclusive one to the other, and it is a wonderful marriage between the community and the university there that has really been worthwhile.

Again, we are only serving about one out of 10 eligible people under the TRIO programs.

Again, I thank the chairman for holding these hearings, because we can do so much better here. I speak in high schools every week in my own State. I have literally spoken at every, single public high school in Connecticut in the last 10 years. And I try to go to my inner city urban schools every year if I can—it has not worked out quite as nicely in the last couple of years—but I see so many kids who I just know, if we could have gotten to them earlier—talented, bright kids, who did not have someone coming home at night, insisting that they do their homework and insisting that they go to places where their interests could be raised and their curiosity probed—they would be looking at very different ambitions and career opportunities.

So I urge us here, Mr. Chairman, to do as much as we can to expand this. It is as much of a hurdle, in many ways, as the financial barriers placed by the cost of education. That problem, we can solve if we can come up with the dollars and cents, but we are never going to solve this problem unless we begin early on, in my view. All the desire are not going to be enough if it is too late in that child's educational process to go forward.

So I thank you all very, very much, and thank you, Mr. Chairman.

The CHAIRMAN. I want to thank the panel. There are several things that we are going to take away from this that I think we all ought to take a look at.

First, the whole world is changing in your institutions and everywhere else in that we have the nontraditional students now, people who were left behind and are now coming back to school. We have got to learn how to take care of them.

Second, skills are becoming as necessary as college education, and there are a lot of opportunities for very well-paying jobs which do not necessarily require college, but they do require postsecondary or some kind of additional training.

How we replicate the good stories here is another thing which is probably the most important, because at a time when we are having a hard time continuing demonstration programs like yours—very successful programs—how do we, as Senator Bingaman pointed out, plan a national strategy that takes what you have learned so we can have TRIO programs everywhere. Or we have colleges and universities for special groups everywhere, so that not just a certain percentage, a low percentage, of our people get the opportunities that you have given your students, but so that everyone who is in these circumstances has those opportunities. That takes a real national strategy.

I think the President is moving in many ways in this direction with volunteerism and other initiatives, and we have got to try to find ways to handle this better. The information that all of you have given us is critically important, but we have to get it into a national strategy that is implemented.

I especially love the programs that we have heard about here today because we have all of them in Vermont, and we are going to keep them there, too. We know they can work, and now we have just got to make sure everybody else has them.

Dr. Morgan, you have enlightened me as to the substantial problems in the Hispanic community, which I was not aware of. That is very, very ominous in the sense that if we do not do something like you are trying to do and are doing, we are going to have very, very serious problems in the future.

Mr. Griffin, I think we have seen more success in the black minority programs, but much more needs to be done there, too; we know that also. But I am more encouraged each year that we seem to be moving and improving because of people like yourself.

[Additional material and statement submitted for the record follow:]

A PERSPECTIVE ON THE REAUTHORIZATION OF THE HIGHER EDUCATION ACT

HISPANIC ASSOCIATION OF COLLEGES AND UNIVERSITIES

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HACU is grateful for the excellent participation of numerous HSI presidents and other Hispanic academic leaders in its consultation process. We are also thankful to HACU staff members who directly or indirectly contributed to the development or preparation of this important document; in this regard, we want to make special mention of the contributions by HACU's General Counsel and Research Associate, its Office of Governmental Relations staff, and members of the Office of the President staff. HACU's Governing board members, particularly its Committee on Governmental Relations and its Executive Committee, were most helpful in the completion of this project.

We are also indebted to HACU's supporters who generously contribute to its general support and operations, but especially to the Educational Testing Service for its financial support for the symposium held in Dallas on April 8 and 9, 1997. Their continuing generosity allows HACU to promote greater and better educational opportunities for Hispanic Americans, as well as increased assistance for the over 200 colleges and universities it represents.

Mil gracias a todos.

Antonio R. Flores, Ph.D.
President

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INTRODUCTION

This document provides a Hispanic Association of Colleges and Universities (HACU) perspective on the main issues and concerns surrounding the reauthorization of the Higher Education Act of 1965 (HEA), as amended, and offers a series of recommendations to enhance the HEA on behalf of Hispanic-Serving Institutions (HSIs) and Hispanic Americans.

Most of the document was developed and prepared via an inclusive and thorough consultation process which began in 1996. During the spring and summer of last year, presidents of HSIs were surveyed to gather preliminary information on their concerns and views about the HEA and possible amendments. Based on these preliminary inputs, a series of themes and topical areas began to emerge pertaining to the reauthorization of the HEA. Analyses of that information and other HACU staff ideas were shared with three different focus groups in a seminar format, in as many different regions of the country, to generate additional insights on the issues and concerns identified by HSI presidents and HACU staff. Subsequently, on April 8-9, 1997, a national symposium was organized by HACU in Dallas, Texas, to discuss further the preliminary recommendations submitted on December 17, 1996, to the U.S. Secretary of Education, Richard Riley, and on February 4, 1997, to Congressman William F. Goodling, Chairman of the House Education and the Workforce Committee, and to members of this authorizing committee. The Dallas forum included presidents of HSIs and program directors who helped HACU staff to expand and enhance those preliminary recommendations. This intensive and comprehensive process yielded the bulk of the recommendations offered in this document. The document is organized in three primary sections: **(1) Context, (2) Issues and Concerns, and (3) Recommendations.**

The **Context** elaborates on the evolution of the HEA, vis-a-vis HSIs and Hispanic Americans; discusses trends impacting on the relevance of the HEA, particularly with respect to Hispanic Americans; and draws some basic assumptions from those analyses pertaining the HEA and its strengths and shortcomings for the educational advancement of underrepresented groups in America, with emphasis on Hispanics.

The **Issues and Concerns** section expands upon the preliminary analyses made in the preceding part and focuses on the specific questions and themes generated through HACU's national consultation process. It draws on the analyses and empirical evidence that are provided within the preceding part. As a connecting section between the preceding and the following one, this portion of the document sets the stage for the proposed amendments to HEA.

Recommendations for specific amendments to the HEA are made in this section, along with a succinct rationale for each recommendation. The appropriate text and nomenclature (e.g., title, subtitle, part, subpart, section, subsection) are cited for each specific amendment recommended which is followed by a brief but well-grounded rationale. Whenever possible, current HEA text will be quoted with newly proposed text inserted in ***boldfaced italics*** and deletions showing as boldfaced, stricken-out current text. This section is the backbone of the document.

CONTEXT

CHANGES AND CHALLENGES

As a product of the Civil Rights era and of the War on Poverty policies of the 1960s, the HEA was originally conceived as a means of affording greater educational opportunities to low-income and underrepresented segments of American society. Education, especially higher education, was viewed as a passport out of poverty and disenfranchisement; more than three decades later, this belief still remains the driving force behind efforts to broaden access and achieve group equity in postsecondary education.

While America underwent social turmoil and transformation in the 1960s and 1970s, a new and pervasive information revolution emerged worldwide. The advent of the microcomputer and its increasingly smaller but more powerful microprocessors have changed the face of the world and the very nature of America's economy: from a post-industrial base to a high technology, information-driven economy, where specialized higher education is the ticket to socioeconomic upward mobility. While a high school diploma was enough in the industrial era to secure gainful employment, today, and even more so in the future, a higher-education degree is required to avoid joining the ranks of the "working poor" in America. In an almost literal sense, we earn what we learn.

Demographically, America has changed dramatically since the 1960s. Immigrant patterns into America shifted from European to Third-World countries, particularly Mexico and Central American as well as Southeast Asian countries. In 1992, for example, Mexico accounted for over one-third (i.e., 213,802) of the 637,293 legal immigrants admitted to the United States from the top 15 countries of origin (*Scholastic Update*, Vol. 26, No. 6, November 19, 1993). In addition to immigration trends, fertility rates have added significantly to the rapid population gains of Hispanic Americans over the past two decades. In 1992, for instance, the following fertility rates were reported by race and ethnicity: whites, 1.97 children per childbearing woman; blacks, 2.47; American Indians, 2.78; Asian Americans, 2.51; and Hispanics, 2.90 (U.S. Bureau of the Census, Current Population Reports, P25-1111, March 1994). Demographic growth, not surprisingly, has been significantly greater in regions and states with the highest concentrations of minorities--particularly Hispanics. These trends are expected to make Hispanics the largest ethnic group in America in the 21st century when, by the year 2050, it is projected that one of every four Americans will be Hispanic.

In addition to a rapid Hispanic population growth, white America is aging. This is creating a greater dependence on people of color, especially Hispanics, to provide the economic base of support for the elderly and soon-to-be retirees. The emerging, younger Hispanic and other minority age cohorts in pre-school and K-12 education are rapidly becoming the cornerstone of America's future prosperity and leadership. To the extent that this minority population succeeds in higher education, so will the rest of society.

HISPANIC-SERVING INSTITUTIONS AND HISPANIC AMERICANS

Although Hispanic Americans, as an ethnic and cultural community, precede the birth of our nation, it was not until the 1970 U.S. Census that the federal government recognized them as a national population of socioeconomic significance. As part of a "minority" classification, their special needs, aspirations, and contributions to the welfare of America were kept undocumented. In fact, for generations, Hispanics were subjected to overt discriminatory practices in employment, education, housing, business opportunities, and even burial places. This pattern of neglect and discrimination persists, although in more subtle ways, and maintains insidious inequities for Hispanic Americans. Not surprisingly, Hispanic Americans and Hispanic-Serving Institutions (HSIs) were not even acknowledged in the framing and final text of the HEA in 1965; nor in the 1970s or 1980s.

Almost three decades after its enactment, the reauthorization of the HEA in 1992 first recognized HSIs as a national resource worthy of federal support and assistance. While it incorporated the concept of HSIs under Section 316, Part A (Strengthening Institutions), Title III, it did so with an authorization of $45 million under Section 360, Part D (General Provisions), of the same title. However, it was not until FY 1995 that $12 million were appropriated for the first time for HSIs. The low level of authorized funding, compared to other similar institutions, even lower appropriation levels, placed HSIs in a distant second-class category. For instance, Title, Part B, authorizes $155 million for Historically Black Colleges and Universities (HBCUs); under these provisions, $128.6 million was appropriated for FYs 1996 and 1997, and the administration has requested $132.6 million for FY 1998. Under the same title, therefore, HSIs have been receiving less than one-tenth of the funding received by HBCUs, despite the fact that HSIs enroll the overwhelming majority of Hispanics and HBCUs enroll a minority of African Americans in college.

The authorizing legislation and relatively low level of annual appropriations underplay the importance of the Hispanic community and neglect the pressing needs of Hispanic Americans. Furthermore, they failed to account for the loss of human capital represented by the exceedingly high dropout rate in K-12 education, estimated at 45-50 percent, and the excessive underrepresentation of Hispanic Americans in higher education.

The HEA defines "HSI" as an institution with an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic, 50 percent or more of these are low-income and first-generation college students, and another 25 percent of them are either low-income or first-generation college student. This is an overly restrictive definition. Figure 1 on the next page depicts the geographic locations of HSIs.

Figure 1
HACU Member/Eligible HSIs and HACU Associate Member/Eligible Institutions
Number of Institutions in Each State

State	HACU HSI	Other Potential HACU HSIs	HACU Assoc.	Other Eligible Assoc.
Arizona	2	3	3	7
California	26	19	19	46
Colorado	4	1	2	5
Connecticut				1
Florida	9	3	4	
Illinois	5	4	4	7
Indiana			1	2
Kansas				2
Maryland				2
Massachusetts			1	4
Michigan			1	
Nevada				1
New Jersey	1	2	1	4
New Mexico	12	4	3	5
New York	9	1	9	6
Oregon				2
Pennsylvania			1	1
Texas	28	2	11	15
Virginia				2
Washington			1	1
Washington DC				1
Puerto Rico	16	19		
Total	169	56	63	119

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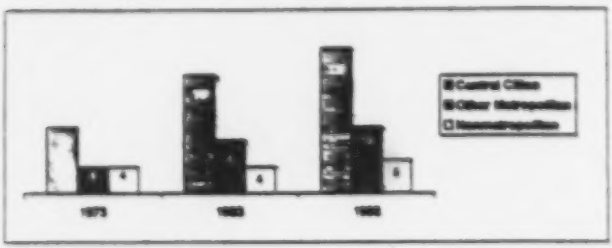
A LEAKY EDUCATION PIPELINE

Current and compelling research indicates that the most critical formative years for children are from zero to 7 years of age. Preschool attendance, is a major factor in predicting educational success in later years. Hispanic children start K-12 school with less and lower-quality preschool experience than white children, and this gap has widened over the years. For example, in 1973 about 13 percent of Hispanics attended pre-school, as compared to 18 percent whites; 20 years later, their attendance rates were 17 and 38 percent, respectively (*Findings from the Condition of Education 1995: The Educational Progress of Hispanic Students*, NCS).

In elementary and secondary schools, the percentage of Hispanic children more than doubled between 1973 and 1993. They represent the fastest-growing ethnic group in public schools across America, as graphically documented below.

Figure 2

Percentage of public school students who are Hispanic



SOURCE. U.S. Department of Commerce, Bureau of the Census, October Current Population Surveys, Reported by NCS 95-767 Document.

Although one of every four students in central-city public schools is Hispanic, only five of every ten Hispanics who enter kindergarten graduate from high school. While several socioeconomic factors are cited by researchers as important contributing factors, academic achievement is considered one of the best predictors of school dropouts (Findings of the 1995 Hispanic Dropout Project *Data Book*). In this sense, although academic assessment scores for Hispanics have increased since 1975, there has been little change in the gaps between their scores and those of whites, as indicated by the table on the next page.

Table 1

Average Proficiency Scores

Subject and year	White			Hispanic		
	Age 9	Age 13	Age 17	Age 9	Age 13	Age 17
Reading						
1975	217	262	293	183	232	252
1984	218	263	295	187	240	268
1992	218	266	297	192	239	271
Mathematics						
1978	224	272	306	203	238	276
1986	227	274	308	205	254	283
1992	235	279	312	212	259	292
Science						
1977	230	256	298	192	213	262
1986	232	259	298	199	226	259
1992	239	267	304	205	238	270

SOURCE: NCES, National Assessment of Educational Progress

For example, in 1978, the gap in math of 21 scale points for 9-year-olds actually widened to 23 points in 1992. In science it shrank from 38 in 1977 to 34 points in 1992. The most significant gap reduction was in reading: from 34 points in 1975 to 26 in 1992. Generally, academic performance gaps between Hispanics and whites increase as students move from lower to higher grades, despite the fact that many of the Hispanic underachievers drop out in the early grades of secondary education.

This pattern of underachievement among Hispanic students is further reflected in their disproportionately low participation rates in college preparatory and advanced courses such as trigonometry, calculus, chemistry, and physics. Table 2 on the next page supports this finding.

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Table 2

Percentage of High School Graduates Taking Selected Mathematics and Science Courses, 1994

Subject	White	Hispanic
Trigonometry	18.6	9.8
AP Calculus	7.3	4.6
AP Honors Chemistry	4.3	2.1
Physics	26.1	16.0

SOURCE: National Center for Education Statistics: *Digest of Education Statistics, 1996*

In general, white students took selected mathematics and science courses at almost twice the rate of Hispanics in 1994.

The high school completion rate of Hispanics is 36 percent less than that of the white student population nationwide, and the gap is even greater in some states with the highest concentration of Hispanics.

Table 3

Percentage of Persons, 25 years-old and Over (1990), with a High School Diploma or Higher in States where HSIs are Largely Based

State	White	Hispanic	% Difference
Arizona	82.4	51.7	31
California	81.1	45.0	44
Colorado	86.1	58.3	32
Florida	77.0	57.2	26
Illinois	79.1	45.0	43
New Jersey	78.6	53.9	32
New Mexico	78.6	59.6	24
New York	78.5	50.4	[illegible]
Texas	76.2	44.6	[illegible]
United States	**77.9**	**49.8**	**36**

SOURCE: National Center for Education Statistics: *Digest of Education Statistics, 1996*

The wide gaps observed in the high school completion rates between whites and Hispanics increases to 55 percent at the college level (Table 4).

Table 4

Percentage of Persons, 25 years-old and Over (1990), with a Bachelor's Degree or Higher in States where HSIs are Largely Based

State	White	Hispanic	% Difference
Arizona	22.2	6.9	68
California	25.4	7.1	72
Colorado	28.3	8.6	70
Florida	19.3	14.2	26
Illinois	22.4	8.0	64
New Jersey	25.8	10.8	58
New Mexico	23.4	8.7	63
New York	25.3	9.3	63
Texas	22.6	7.3	67
United States	**21.5**	**9.2**	**55**

SOURCE: National Center for Education Statistics: *Digest of Education Statistics, 1996*

The preceding data show that the education pipeline in America to be a progressively leaky one for Hispanics. The higher the level of schooling, the wider the gaps become for achievement and attainment between Hispanics and non-Hispanics.

ISSUES AND CONCERNS

Procedural Issues

Newness of HSI Concept in the HEA

As the most recent category of institutions recognized by the HEA for the first time in 1992, HSIs remain largely unknown to policy makers. Federal agencies do not yet report discrete data for HSIs as they do for other types and categories of institutions. Although HSIs have existed for decades and, in some cases since the 1800s, their national role as providers of educational opportunities for underserved and underrepresented populations,

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particularly Hispanics, is neither well documented nor understood.

Federal agencies, especially the U.S. Department of Education, HACU, researchers, policy analysts, private-sector organizations, and others concerned with the educational progress of Hispanic Americans and the improvement of HSIs must increase their individual and collective efforts to study and report the numerous and important contributions made by HSIs and other institutions serving large numbers of Hispanic Americans to meeting the educational and training needs of America. It is imperative that policy makers and the American public understand and appreciate the crucial role and the outstanding contributions of HSIs and other Hispanic-concerned institutions in the national higher education.

The very recognition of this issue as a national priority is a starting point in the evolution from invisibility to recognition, and from this to full understanding and appreciation of the national significance of HSIs and other institutions serving large numbers of one of the most undereducated group in America: Hispanics.

Youthfulness of HACU

HACU, the only national association representing the public interest of HSIs and Hispanic Americans in higher education, was formally incorporated as a non-profit organization on December 19, 1986.

As an emerging national association founded in San Antonio, Texas, with a few higher education institutions, HACU now represents over 160 HSIs and 63 associate HSIs (those with less than 25 percent, but 10-24 percent or at least 1,000 Hispanics enrolled). Collectively, these institutions matriculate two-thirds of the estimated 1.3 million Hispanics in postsecondary education. In just ten years HACU has increased its membership ten-fold.

HACU administers a variety of important programs aimed at strengthening the institutional capacity of HSIs and at increasing the educational success of Hispanic Americans. This two-dimensional clientele, (1) HSIs and (2) Hispanic students, has provided the impetus for HACU's effectiveness in promoting new legislation and policies to enhance HSIs and innovative programs to improve the educational attainment of their students and others at associate HSIs. HACU was largely responsible for the inclusion of HSIs in the 1992 reauthorization of the HEA and in the 1996 amendments to the Farm Bill. Its office of governmental relations and HACU's national internship program (HNIP) are based in Washington, D.C. Its headquarters and support operations remain in San Antonio.

HACU's relative youthfulness and rapid growth over the past ten years have been both a blessing and a challenge. As a new and evolving association committed to a neglected

population and institutional sector in higher education, HACU has been able to establish a niche of unique and important national interest. Federal agencies, state-level organizations, and private-sector organizations (particularly for-profit corporations) have become valuable HACU partners who have found a great deal of common ground with HACU. On the other hand, the demands from numerous sources on HACU's limited resources continue to exert significant pressures on this young and maturing association.

HACU partners, especially federal agencies, must strengthen and expand their support and assistance for this unique and thriving association, so that it can better serve both its primary clientele (HSIs and Hispanic American students) as well as its partners' needs.

Support From Peer National Associations

As a member of the Washington Higher Education Secretariat at One Dupont Circle, HACU has been able to participate in the development of policy recommendations to enhance federal funding and the delivery of services for higher education. In doing so, HACU has sought to gain support for peer associations for HSIs and Hispanic Americans. The vast majority of those associations support HACU's recommendations in this regard.

To further strengthen support among members of the Secretariat, we must continue to implement a strategy of education, persuasion, and coalition building. Presidents of HSIs and others concerned about improving HSIs and educational opportunities for Hispanics need to continue voicing their views on boards, commissions, and membership meetings of these national associations involved with higher education policy.

As the only organized voice of HSIs and Hispanic Americans in higher education policy circles, HACU would welcome and encourage support from peer associations and significant others to better represent its constituencies.

SUBSTANTIVE MATTERS

The three preceding subsections discussed procedural concerns which impact on policy work of HACU and HSIs. This part focuses on some general but substantive matters which frame the specific recommendations included in subsequent sections of this document.

Equity for HSIs and Hispanic Americans

The scope of support under Title III of the HEA for HSIs is inadequate and fails to reflect the pressing educational needs, rapid demographic growth, and exceedingly low representation of Hispanic Americans in higher education. These three realities (need, demographics, and underrepresentation) must be accounted for throughout the entire HEA

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but specifically in Title III and all other institutionally targeted programs. It is sound and cost-effective public policy to target federal resources to populations showing the greatest need, growing the fastest demographically, and remaining severely underrepresented in higher education. Public resources would make the most impact on populations and areas of the country with the greatest need.

Access and Opportunity

The current definition of HSI by the HEA applies the most restricted and exclusionary eligibility criteria. Rather than affording the widest possible access to institutions which serve the lowest-income and least-educated population, the federal HSI definition excludes a large number of needy and deserving colleges and universities through such excessive restrictions. Instead of recognizing and rewarding these excluded institutions, current criteria penalize them and deprive them of the official HSI designation which would allow them to better serve Hispanic Americans and other needy students. A more reasonable and responsible definition and eligibility criteria must be provided by the reauthorized HEA.

HSI Subordination and Exclusion

Present "hold harmless" provisions of the HEA, Title III, unnecessarily subordinate funding for HSIs to unrelated and irrelevant considerations. These provisions require that Congress approve a waiver for HSIs to be funded every year. This subordination of HSI funding to other immaterial provisions is unnecessary. Likewise, exemptions afforded to other categories of institutions representing needy populations (e.g., Tribally Controlled Colleges and Historically Black Colleges and Universities) do not extend to HSIs; for instance, the exemption from the loan-default rate penalties under Title IV of the HEA. The exclusion of HSI from this exemption reflects, again, the scarcity of understanding and appreciation of their national role in serving the needs of the neediest and least educated racial/ethnic group in America.

In the same vein, many HSIs, which by definition enroll the most significant numbers of Hispanics who are overwhelmingly needy and first-generation college students, compete with wealthier and more developed institutions for grant programs under unfavorable and inequitable criteria. For instance, under current TRIO Program regulations, institutions that already operate a program funded by TRIO are given 15 advantage (prior experience) points of a maximum 115 points awardable under grant competitions. This provision clearly penalizes institutions attempting to compete for TRIO grants without the benefit of prior experience and contributes to their systematic exclusion from programs that are sorely needed by their students and local communities.

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Deficient Funding

Currently, only 37 HSIs receive funding under Title III, section 316, provisions of the HEA out of 182 potentially eligible HSIs nationwide. Although $45 million is authorized by the HEA, only $10.8 million was appropriated for FY 1997 and $12 million is proposed for FY 1998. Unless authorization and appropriation levels are significantly increased, HSIs will remain severely underfunded and largely excluded from HEA targeted funding.

IN SHORT

HACU and HSIs face a series of procedural challenges which include the newness of the HSI concept, the youth and rapid growth of HACU, and the need to work in coordination with other higher education national associations. These procedural issues combine with substantive concerns, such as the allocation of HEA institutional funding without focused regard for demographic growth, need, and underrepresentation; the existence of a rather exclusionary HSI definition; the subordination of HSI funding to extraneous political considerations; and the low levels of funding authorized and appropriated in recent years. These procedural and substantive issues underlay HACU's policy agenda and strategy.

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RECOMMENDATIONS

The Higher Education Act of 1965 (HEA) established the major federal programs to support postsecondary education and to assist financially needy students. The current reauthorization of the HEA, therefore, has the potential to strengthen the capacity of HSIs to influence—to a great degree—the quality and type of postsecondary education that most Hispanic Americans will receive. The importance of the HEA's reauthorization, therefore, cannot be overstated. Studies confirm that Hispanics continue to be underrepresented at every level of higher education. Political initiatives (like Proposition 209 in California) and judicial pronouncements (like *Hopwood v. Texas* in the Fifth U.S. Judicial Circuit) almost guarantee a decline in the number of Hispanic Americans and other minorities attending institutions of higher education.

This conservative backlash, however, constitutes only one element of several related developments that will detrimentally affect the overall enrollment of Hispanics in higher education. In addition to the prevailing anti-affirmative action sentiment, all students—including Hispanic Americans—must contend with a decade of college-tuition increases that have outpaced inflation, changes in the federal-tax laws that have increased the costs of financing a postsecondary education for both students and schools, and a shift in emphasis of federal-aid policy from grants to loans.

These developments have created an environment in which financing a college education represents a formidable, if not impossible, task. Faced with spiraling tuition rates, federal grants whose purchasing power has eroded, and the prospect of mounting debt burdens upon graduation, students are enrolling in lower-cost institutions, dropping out of college, or forgoing college altogether. And although these crises have touched students of all socioeconomic classes, they have affected low-income and minority students most severely. But most directly, these problems have affected the Hispanic community.

That the present system of higher education dissuades minority access remains irrefutable. And it is this indictment that evidences a need for changes to federal policies concerning postsecondary education. For this reason, HACU has provided the following summary of recommended changes to the HEA. Although not intended as a exhaustive inventory of recommended changes, this document highlights most of the issues raised by HSI representatives who attended either of the two HACU-sponsored conferences that focused on the reauthorization of the HEA: (1) the *Strengthening Hispanic-Serving Institutions through the Reauthorization of the Higher Education Act* symposium held on April 8-9, 1997 in Dallas, Texas; and (2) the Capitol Forum held in Washington, D.C. on April 30 - May 1, 1997.

HACU does believe that many of the programs created by the HEA are important to the

successful attainment of postsecondary degrees by Hispanic Americans. And while a more exhaustive treatment would document all recommended changes to the HEA, space and time limitations preclude a more detailed analysis of each HEA title.

In preparation of this document, certain standards have been applied. Whenever possible, current HEA text will be quoted with newly-proposed text inserted in boldfaced italics. Deletions will be indicated by boldfaced, stricken-out current text.

ACROSS THE HEA: GENERAL RECOMMENDATIONS

As a general recommendation, HACU encourages the Secretary of Education to incorporate, where appropriate, the following provisions under each HEA title where institutional funding is at issue. More directly, HACU recognizes the importance of using federal resources to assist colleges and universities with service areas or student enrollments that include:

- high concentrations of low-income and/or under-educated populations;
- rapid and significant demographic growth; and
- historically underrepresented populations—including Hispanic Americans and other minorities—in higher education.

Once these factors have been considered, federal funds can then be used to benefit the neediest and largest number of people more directly. These provisions can be incorporated into the "findings" or "purpose," or both, which precede the substantive sections of each title.

I. TITLE II—ACADEMIC LIBRARIES AND INFORMATION SERVICES

One of the stated purposes of Title II of the Higher Education Act of 1965 is "to assist college and university libraries in acquiring technological equipment and in conducting research in information technology." In considering how this purpose might be achieved, Congress included specific language, in Section 201(a)(4), acknowledging the vital role of HBCUs and other minority-serving higher education institutions in training and educating underrepresented minorities in the library and information sciences. In addition, Congress, in Section 201(b)(4), authorized a $15 million per year appropriation so that HBCUs and other minority-serving institutions could carry out this mission.

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Admittedly, HSIs fail within the technical definition of "other minority-serving institutions." However, the failure of Title II specifically to identify HSIs in its purpose and authorization language creates the continued possibility that library and information services at HSIs will be overlooked and remain underdeveloped. To provide Hispanics and other students attending HSIs with the full range of research and information resources available at other institutions, HACU recommends that HSIs be explicitly designated as eligible institutions for Title II, Part D grants. This would require the following changes to pertinent Title II provisions:

A. Section 201(a)(4) (Purpose; Authorization) should be amended to include the phrase "Hispanic-Serving Institutions" as follows:

> (a) PURPOSE.—The Secretary shall carry out a program to assist—
> (4) historically black colleges and universities, *Hispanic-Serving Institutions*, and other minority-serving institutions with programs in library and information sciences to train and educate African-Americans, *Hispanic Americans*, and other underrepresented racial, national origin, and ethnic minorities in such programs in accordance with part D.

B. Section 241(a) and the language in corresponding descriptions should be amended to include HSIs specifically as eligible institutions. This would require:

1. Revising the list of eligible institutions as follows:

> (a) ELIGIBLE INSTITUTIONS.—For the purposes of this section, the term "eligible institution" means—
> (1) an historically black college or university; *or*
> *(2) a Hispanic-Serving Institution; or*
> ~~(2)~~*(3)* an institution of higher education which—
> (A) serves a large number or high percentage of minority students; and
> (B) enrolls and graduates minority students in library and information science programs.

2. Including a reference to "Hispanic-Serving Institutions" in the following identifiers:

> a. PART D—STRENGTHENING LIBRARY AND INFORMATION SCIENCE PROGRAMS AND LIBRARIES IN HISTORICALLY BLACK COLLEGES AND UNIVERSITIES, *HISPANIC-SERVING INSTITUTIONS*, AND OTHER MINORITY-SERVI INSTITUTIONS.
>
> b. SEC. 241. STRENGTHENING LIBRARY AND INFORMATION SCIENCE PROGRAMS AND LIBRARIES IN HISTORICALLY BLACK COLLEGES AND UNIVERSITIES, *HISPANIC-SERVING*

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INSTITUTIONS AND OTHER MINORITY-SERVING INSTITUTIONS.

II. TITLE III--INSTITUTIONAL AID

Congress created Title III for the explicit purpose of assisting higher education institutions "in equalizing educational opportunity through a program of Federal assistance." In particular, Congress recognized that institutions of higher education serving high percentages of minority students often faced severe fiscal problems --thus hampering their ability to provide access and quality education to low-income and minority students. Thus, after the 1992 reauthorization of the HEA, Congress authorized $45 million to be appropriated for fiscal year 1993 in an effort to strengthen HSIs. Despite this authorization, the actual appropriation has never even come close to this designated amount. In fiscal year 1997, for instance, HSIs were funded at only $10.8 million.

Fundamental to providing greater opportunities to students attending HSIs would be official recognition that the Title III program has not always met the specific development needs of these institutions. Other recommendations include redesignating all of the provisions currently under Section 316 into a new Part C and establishing greater flexibility in the definition of eligible HSIs. In sum, these recommendations include:

A. Expanding the scope of Congressional recognition articulated in Section 301(A)(3) to include HSIs:

SEC. 301. FINDINGS AND PURPOSES

(A) FINDINGS.--The Congress finds that--

(3) the title III program prior to 1985 did not always meet the specific development needs of historically Black colleges and universities, *Hispanic-Serving Institutions*, and other institutions with large concentrations of minority, low-income students;

B. Amending Section 316 (Hispanic-Serving Institutions). In its present form, this section places unreasonable restrictions on HSI eligibility for Title III grants. The following changes should be incorporated:

1. Revise Section 316(b)(1)(B) by striking the "full-time equivalent" requirement.

As written, Section 316(b)(1)(B) does not fully capture the actual enrollment of Hispanic students at institutions of higher education. By counting only "full-time equivalent" students, the provision limits the institutions that might otherwise qualify for HSI status because it fails

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to consider the large numbers of Hispanics who are part-time students. By repealing the "full-time equivalent" requirement, the HSI definition would better reflect the actual number of Hispanics enrolled in higher education institutions.

2. Revise Section 316(b)(1)(C)(i) by striking the requirement that 50 percent of Hispanic students at an HSI must be "first generation college students." Additional language should be included in this section which stipulates that the low-income requirement will apply only to one-fourth of the Hispanic student population at those institutions with a Hispanic enrollment greater than 25 percent.

   The "first generation college student" requirement in Section 316(b)(1)(C)(i) unduly restricts the ability of many colleges and universities to qualify for HSI status. Current research indicates that only 38.9 percent of all Hispanic students currently enrolled at institutions of higher education could meet the dual requirements of low income and first generation stipulated in this provision. By eliminating this requirement, more institutions would qualify for HSI status because of the greater percentage of Hispanic students who meet the threshold for low income.

3. Repeal Section 316(b)(1)(C)(ii) in its entirety.

   As with the changes to Section 316 recommended above, Section 316(b)(1)(C)(ii) restricts the ability of higher education institutions to qualify for HSI status. As a point of information, even if Section 316(b)(1)(C)(ii) is repealed in its entirety, HSI grants will continue to be the most restrictive of the three types of Title III programs. The remaining eligibility requirements (*i.e.*, a Hispanic student enrollment rate of 25 percent or more with 50 percent or more of this group qualifying as low-income students) provide much assurance that these grants will be directed to needy HSIs.

The recommended changes to Section 316(b) are summarized below:

PART A—STRENGTHENING INSTITUTIONS

SEC. 316 HISPANIC-SERVING INSTITUTIONS.

(b) DEFINITIONS.—For the purpose of this section—

(1) the term "Hispanic-serving institution" means an institution of higher education which—

(A) is an eligible institution under section 312(b);

(B) at the time of application, has an enrollment

~~of undergraduate full-time equivalent students that is at least 25 percent Hispanic students;~~

~~(C) provides assurances that--~~

~~(i) not less than 50 percent of its Hispanic students are low-income individuals who are first generation college students and;~~ *for institutions with Hispanic enrollment greater than 25 percent, this requirement shall apply only to one-fourth of the Hispanic student population.*

~~(ii) another 50 percent of its Hispanic students are either low-income individuals or first generation college students~~

C. Permitting HSIs the option of using up to 20 percent of their grants for establishing or increasing their institutional endowments. The following language is recommended for this purpose:

SEC. 316 HISPANIC-SERVING INSTITUTIONS.

(c) Authorized Activities.--

(2) Examples of Authorized Activities.--Such Programs may include--

(I) use of up to 20 percent of the grant award to establish or increase institutional endowments provided that the HSI match the amount used for the endowment on a dollar for dollar basis.

D. Expanding Section 316(d)(3) to include partnerships with community-based organizations (CBOs)

SEC. 316 HISPANIC-SERVING INSTITUTIONS.

(d) APPLICATION PROCESS.--

(3) Priority.--The Secretary shall give priority to applications that contain satisfactory evidence that such institution has entered into or will enter into a collaborative arrangement with at least one local educational agency *or community-based organization* to provide such agency with assistance (from funds other than funds provided under this part) in reducing Hispanic dropout rates, improving Hispanic rates of academic achievement, ~~and~~ increasing the rates at which Hispanic high school graduates enroll in higher education, *and increasing the use of technology for increasing the rates at which Hispanic high school graduates enroll in higher education.*

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E. Repealing Section 360(a)(1)(B)(ii) in its entirety.

Section 360(a)(1)(B)(ii) prohibits funding for HSIs until Part A (§§ 312 - 316) grants are funded at $80 million or higher. In FY 1996 and FY 1997, the Congressional Appropriations Committee funded HSIs even when Part A funds have been less than $80 million. However, to do so, they have had to add "notwithstanding language" to the annual funding bills. Because this funding trigger has effectively become obsolete, it should be repealed.

In order to repeal this funding trigger, the following language should be deleted:

SEC. 360. AUTHORIZATIONS OF APPROPRIATIONS.

(a) AUTHORIZATIONS.—

(1) PART A.—(A) There are authorized to be appropriated to carry out part A, $135,000,000 (other than section 316) for fiscal year 1993, and such sums as may be necessary for each of the 4 succeeding fiscal years.

(B)(i) There are authorized to be appropriated to carry out section 316, $45,000,000 for fiscal year 1993 and such sums as may be necessary for each of the 4 succeeding fiscal years.

~~(ii) No funds are authorized to be appropriated pursuant to clause (i) for any fiscal years unless the amount appropriated pursuant to paragraph (1)(A) for such fiscal year equals or exceeds $204,000,000.~~

F. Moving all provisions currently found under Section 316 into a newly created section to be titled "Part C—Strengthening Hispanic-Serving Institutions."

Presently, Title III is divided into four separate components: (1) Part A—Strengthening Institutions; (2) Part B—Strengthening Historically Black Colleges and Universities; (3) Part C—Endowment Challenge Grants for Institutions Eligible for Assistance Under Part A or Part B; and (4) Part D—General Provisions. Aside from the standards articulated in Section 316 of Part A, no other provision in Title III exclusively concerns HSIs. And on this basis, HSIs have not yet been accorded the same degree of recognition or status as HBCUs.

To recognize the increasing importance of HSIs in higher education, all provisions currently found under Section 316 should be moved into "Part C." Parts C and D under the present categorization can be redesignated accordingly. This redesignation is more than cosmetic. HSIs are unique because they enroll more than half of all Hispanics in postsecondary education. If for no other reason than this, HSIs should be identified in law

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as a unique set of institutions and accorded a similar degree of recognition presently reserved only for HBCUs.

After including HSIs in Part C, Title III could be re-ordered in the following way:

TITLE III—INSTITUTIONAL AID
PART A—STRENGTHENING INSTITUTIONS
PART B—STRENGTHENING HISTORICALLY BLACK COLLEGES AND UNIVERSITIES
PART C—STRENGTHENING HISPANIC-SERVING INSTITUTIONS
PART ~~C~~ *D*—ENDOWMENT CHALLENGE GRANTS FOR INSTITUTIONS ELIGIBLE FOR ASSISTANCE UNDER PART A OR PART B
PART ~~D~~ *E*—GENERAL PROVISIONS

G. Defining the phrase "part C institution." Once Title III has been expanded to include "Part C—Strengthening Hispanic-Serving Institutions," future usages of grants awarded under this section can then reference the term "part C institution."

For instance, Section 322(2) defines "part B institution" as follows:

SEC. 322. DEFINITIONS.
For the purpose of this part:
(2) The term "part B institution" means any historically Black college or university that was established prior to 1964, whose principal mission was, and is, the education of Black Americans, and that is accredited by a nationally recognized accrediting agency or association determined by the Secretary to be a reliable authority as to the quality of training offered or is, according to such an agency or association, making reasonable progress toward accreditation, except that any branch campus of a southern institution of higher education that prior to September 30, 1986, received a grant as an institution with special needs under section 321 of this title and was formally recognized by the National Center for Education Statistics as a Historically Black College or University but was determined not to be a part B institution on or after October 17, 1986, shall, from the date of enactment of this exception, be considered a part B institution.

In much the same way, the new Part C category (Strengthening Hispanic-Serving Institutions) should also provide an appropriate definition of a "part C institution."

This definition should include the following:

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SEC. 331. FINDINGS AND PURPOSES
SEC. 332. DEFINITIONS
For the purpose of this part:
(2) The term "part C institution" means any Hispanic-Serving Institution which has an enrollment of undergraduate students that is at least 25 percent Hispanic students, and that is accredited by a nationally recognized accrediting agency or association determined by the Secretary to be a reliable authority as to the quality of training offered or is, according to such an agency or association, making reasonable progress toward accreditation.

H. Including a section for Hispanic professional and graduate opportunities in "Part C—Strengthening Hispanic-Serving Institutions" modeled after Sect: 326 in Part B for HBCUs.

There is a real need to open the doors of graduate and professional schools for our nation's Hispanic Americans. HSIs enroll over one-half of all Hispanic undergraduate students in postsecondary education. HSIs with existing graduate and professional programs have a proven record of enrolling Hispanics, and comprise a solid base for enhancing (launching) federal support for graduate and professional opportunities for Hispanics.

This would require creating a new grants-program authority under the revised Part C of Title III to provide awards to HSIs with graduate and professional programs for activities to expand or improve graduate and professional opportunities for Hispanic Americans and other students underrepresented in graduate education. Specific language might include:

General Authorization.—
(1) Subject to the availability of funds appropriated to carry out this section, the Secretary shall award program grants to each of the postgraduate institutions listed that is determined by the Secretary to be making a substantial contribution to the legal, medical, dental, veterinary, or other graduate education opportunities for Hispanic Americans.
(2) An amount of $20,000,000 will be appropriated to carry out this section for any fiscal year.

III. TITLE IV—STUDENT ASSISTANCE

In an effort to make postsecondary education available to all eligible students, Congress included the provisions of Title IV in the HEA. In support of this rationale, HACU believes that the provision of access to higher education should be a top priority during the reauthorization process. HACU strongly discourages any abandonment from the notion of access. As indicated earlier, Hispanic Americans

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already are severely underrepresented in postsecondary education. It is in the nation's best interest to expand, not decrease, access to higher education for its future workforce.

In support of this proposition, HACU offers the following recommendations:

TRIO PROGRAMS

A. Increase the representation of Hispanic Americans in the programs comprising TRIO (Federal Early Outreach and Student Services Programs). To this extent, HACU recommends three changes to the HEA which should yield an increase in the number and percent of Hispanics participating in TRIO.

1. Repeal the "prior experience" consideration for TRIO programs found in Section 402A(c)(1). Instead, the Secretary of Education should give special consideration to proposed projects that serve students "underrepresented in TRIO Programs."

Subpart 2—Federal Early Outreach and Student Services Programs
CHAPTER 1—FEDERAL TRIO PROGRAMS
SEC. 402A. PROGRAM AUTHORITY; AUTHORIZATION OF APPROPRIATIONS.
(C) PROCEDURES FOR AWARDING GRANTS AND CONTRACTS.-

(1) ~~Prior Experience.—In making grants and contracts under this chapter, the Secretary shall consider the prior experience of service delivery under the particular program for which funds are sought by each applicant. For fiscal years after 1986, the level of consideration given to prior experience shall not vary from the level of consideration given this factor for fiscal year 1986, except that in the case of the programs authorized in sections 402E and 403C, the level of consideration given to prior experience shall be the same as the level of consideration given this factor in the other programs authorized in this chapter.~~
Underrepresented Individuals.—In making grants and contracts under this chapter, the Secretary shall consider projects that serve individuals currently underrepresented in

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higher education.

Generally, other statutory language in the HEA which references the former "Prior Experience" provision should be amended to reflect this change in emphasis. Thus, Section 402A(c)(2) would provide:

Subpart 2--Federal Early Outreach and Student Services Programs
CHAPTER 1--FEDERAL TRIO PROGRAMS
SEC. 402A. PROGRAM AUTHORITY; AUTHORIZATION OF APPROPRIATIONS
(c) Procedures for awarding Grants and Contracts.--
(2)(A) Order of Awards; Program Fraud.--(A) Except with respect to grants made under section 402G, and as provided in subparagraph (B), the Secretary shall award grants and contracts under this chapter in the order of the scores received by the applicants for such grant or contract in the peer review process required under section 1210 and, adjusted for prior experience underrepresented individuals in accordance with paragraph (1).

NOTE. This provision has been redesignated in anticipation of the recommendations which follow.

2. Include new language in Section 402A(c) that provides special weight to the geographical distribution of TRIO programs to ensure due consideration of project applications from areas which have been underserved by TRIO programs. Section 402A(c) could be amended to include a provision that reads as follows:

CHAPTER 1--FEDERAL TRIO PROGRAMS
SEC. 402A. PROGRAM AUTHORITY; AUTHORIZATION OF APPROPRIATIONS
(C) Procedures for awarding Grants and Contracts.--
(2) Geographic Distribution.--In making grants and contracts under this chapter, the Secretary shall endeavor to achieve broad and equitable geographical distribution throughout the Nation to ensure ample opportunity for consideration of applications from areas which have been underserved by TRIO programs.

Paragraphs and subparagraphs following this provision should be redesignated appropriately.

3. Provide a priority in funding to projects implemented through the Upward Bound provisions found in Section 402(C) which serve individuals from population groups with a high rate of high school dropouts. Section 402A(c) could be amended to include a provision that reads as follows:

CHAPTER 1--FEDERAL TRIO PROGRAMS

SEC. 402A. PROGRAM AUTHORITY; AUTHORIZATION OF APPROPRIATIONS

(C) Procedures for awarding Grants and Contracts.--

(3) Upward Bound.--In making grants and contracts under this chapter, the Secretary shall consider Upward Bound applicants who provide assurances that not less than one-third of the youths participating in the project are individuals who are at high risk of not completing high school. High risk is defined to mean those individuals from populations determined to have high school dropout rates of 35 percent or higher. A national standard would be used to determine high school dropout rates.

LOAN FORGIVENESS FOR BILINGUAL TEACHERS

B. In the provisions providing loan forgiveness opportunities for teachers, a new section ought to be included which will expand the number of bilingual teachers who teach in Title 1 schools or work for Community Based Organizations that serve minority language populations.

1. To this end, HACU first recommends that the Statement of Purpose be expanded to reflect this objective:

SEC. 428J. LOAN FORGIVENESS FOR TEACHERS, INDIVIDUALS PERFORMING NATIONAL COMMUNITY SERVICE AND NURSES.

(a) STATEMENT OF PURPOSE.--It is the purpose of this section to encourage individuals to--

(1) enter the teaching and nursing profession; and

(2) perform national and community service; *and*

(3) teach in Title 1 schools or work for Community Based Organizations serving minority language populations.

2. This objective must be implemented as a full program and not simply as a demonstration program.

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SEC. 428J. LOAN FORGIVENESS FOR TEACHERS, INDIVIDUALS PERFORMING NATIONAL COMMUNITY SERVICE AND NURSES.

(b) ~~DEMONSTRATION~~ PROGRAM.—

(1) IN GENERAL.—The Secretary, in consultation with the Secretary of Health and Human Services, is authorized to carry out a ~~demonstration~~ program of assuming the obligation to repay a loan made, insured or guaranteed under this part (excluding loans made under section 428A, 428B, or 428C) for any new borrower after October 1, 1989, who—

3. The general eligibility qualifications for full-time teachers must also be expanded to account for this modification:

SEC. 428J. LOAN FORGIVENESS FOR TEACHERS, INDIVIDUALS PERFORMING NATIONAL COMMUNITY SERVICE AND NURSES.

(b) ~~DEMONSTRATION~~ PROGAM.—

(1) IN GENERAL.—

(A) is employed as a full-time teacher—

(i) in a school which qualifies under section 465(a)(2)(A) for loan cancellation for Perkins loan recipients who teach in such schools; and

(ii) of mathematics, science, foreign languages, special education, bilingual education, or any other field of expertise where the State educational agency determines that there is a shortage of qualified teachers *or a large concentration of Limited English Proficient students*.

4. Bilingual education teachers working for community based organizations that serve language minority populations should also be eligible for the loan forgiveness program. This would require inclusion of the following section:

SEC. 428J. LOAN FORGIVENESS FOR TEACHERS, INDIVIDUALS PERFORMING NATIONAL COMMUNITY SERVICE AND NURSES.

(b) ~~DEMONSTRATION~~ PROGAM.—

(1) IN GENERAL.—

(D) is a bilingual teacher employed by a community based organization that serves a language minority population;

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5. On a final note, HACU recommends that this program be made available to borrowers (new and old) of Stafford, Unsubsidized Stafford, and Consolidated loans. At least $20 million should be made available annually for this program.

STUDENT FINANCIAL ASSISTANCE
Institutional Eligibility

C. In the area of financial aid, HACU recommends that the HEA exempt HSIs from the cohort default rate restriction under section 435(a)(2).

Section 435(a)(2)(C) exempts HBCUs and Tribal Colleges from these restrictive default measures. HACU's recommendations would simply afford HSIs, many of which serve large numbers of low-income students, the same opportunity to continue participating in the federal student aid programs. The HEA requires institutions to maintain low default rates in order to continue to participate in student loans. Today, institutions with a cohort default rate of 25 percent or higher for three consecutive years are ineligible to participate in student loans (and in some cases grant aid programs). However, the HEA exempts HBCUs and Tribal community colleges from the cohort default rates restrictions.

To this end, HACU recommends the following revision to Section 435(a)(2)(C):

SEC. 435. DEFINITIONS FOR STUDENT LOAN INSURANCE PROGRAM.

(a) Eligible Institution.–

(2) Ineligibility Based on High Default Rates.–

As used in this part:

(C) Until July 1, 1988, this paragraph shall not apply to any institution that is–

(i) a part B institution within the meaning of section 322(2) of this Act;

(ii) a part C institution within the meaning of section 332(2) [proposed section number] of this Act;

~~(ii)~~(iii) a tribally controlled community college within the meaning of section 2(a)(4) of the Tribally Controlled Community College Assistance Act of 1978; or

~~(iii)~~(iv) a Navajo Community College under

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As with HBCUs, HSIs with high default rates would implement a default management plan in coordination with the Department of Education.

STUDENT FINANCIAL ASSISTANCE
Campus-Based Programs

D. Federal Work Study, Supplemental Educational Opportunity Grants (SEOG), and Perkins Loans comprise the campus-based programs based specifically on need. While low-income Hispanics can and do receive campus-based aid, their award amount is dependent on the total funding allotment provided to their institution. The HEA includes a distribution formula, which "grandfathers" many institutions' allotment at levels set in the mid-1980s. Therefore, many institutions receive an allotment that is only a fraction of their demand, while other schools have the same level of funding they had a decade ago. Campus-based aid should be distributed to institutions with the highest need.

HACU recommends the repeal of the "grandfather" buffers for those institutions that participated in the campus-based student financial aid programs prior to 1985. This would require the repeal of the following:

1. Federal Work Study Funds:

SEC. 442. ALLOCATION OF FUNDS.

(a) ALLOCATION BASED ON PREVIOUS ALLOCATION –

~~(1) From the amount appropriated pursuant to section 441(b) for each fiscal year, the Secretary shall first allocate to each eligible institution for each succeeding fiscal year an amount equal to 100 percent of the amount each institution received and used under this part for fiscal year 1986.~~

2. Federal SEOG Funds

SEC. 413D. ALLOCATION OF FUNDS.

(a) ALLOCATION BASED ON PREVIOUS ALLOCATION. –

~~(1) From the amount appropriated pursuant to section 413A(b) for each fiscal year, the Secretary shall first allocate to each eligible institution an amount equal to 100 percent of the amount each institution received and used under this subpart for fiscal year 1985.~~

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3. Federal Perkins Loans

SEC. 462. ALLOCATION OF FUNDS.

(a) Allocation Based on Previous Allocation.--

(1) From the amount appropriated pursuant to section 461(b) for each fiscal year, the Secretary shall first allocate to each eligible institution an amount equal to--

~~(A) 100 percent of the amount of Federal capital contributions allocated to such institution under this part for fiscal year 1985, multiplied by~~

(B) the institution's default penalty, as determined under subsection (f),

except that if the institution has a default rate in excess of the applicable maximum default rate under subsection (g), the institution may not receive an allocation under this paragraph.

E. HACU strongly cautions against any attempt to completely dismantle the major components of the student financial aid system. Student financial aid programs are not perfect. However, with regard to providing needed dollars to students to pay for college, the combination of student aid programs works well. The growing imbalance of loans to grants is a serious concern to all of us. However, that imbalance is more reflective of Congress' inability to appropriate adequate grant-based aid funding in the annual appropriations' cycle than the system embodied in the act. The combination of grants, work assistance, and loans serve to provide access to postsecondary education.

F. HACU member institutions cannot agree with a system in which student aid is restricted to institutions with high graduation and placement rates. All institutions strive to educate and prepare their students for the workforce. However, institutions cannot sufficiently control all of the variables that influence graduation and job placement. These outcome-based factors cannot be carried out fairly across types of institutions. For example, students enrolled in remedial classes take more time to graduate than traditional students. Many HSIs enroll large numbers of students in remedial education; therefore, they would be adversely affected by these requirements. Linking student aid to graduation and placement rates will not increase access to higher education. HACU, therefore, urges you to reject any proposals that would deny financial aid to students enrolled in non-credit or remedial courses.

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IV. TITLE V--EDUCATOR RECRUITMENT, RETENTION, AND DEVELOPMENT

With a growing population of minority language students, the demand for bilingual teachers and teachers of bilingual education in the elementary and secondary schools has increased. For this reason, the HEA should be modified to reflect this increased demand and to expand the number of bilingual teachers who teach in schools or work for Community Based Organizations that serve minority language populations. Recommendations to accomplish this end include:

A. Amend the Findings and Purposes of Section 500 to include the following language:

1. Sec. 500. Findings and Purposes.
   (a) Findings.--The Congress finds that--
      (10) The nation's linguistic and cultural diversity is an asset that must be cultivated while promoting the integration of limited-English proficient speakers to our socioeconomic mainstream through appropriate and effective teacher training and professional development.

2. Sec. 500. Findings and Purposes.
   (b) Purpose.--It is the purpose of this title--
      (12) to address the nation's shortage of qualified and certified bilingual-bicultural educators, particularly in areas with high concentrations of limited-English-proficient populations.

B. Create a program to provide loan forgiveness for individuals, including bilingual teachers, who agree to teach in eligible schools with a large concentrations of limited-English-proficient students and who teach bilingual education or participate in programs under Title VII of the Elementary and Secondary Education Act of 1965. Bilingual teachers working for community-based organizations serving language minority populations should also be eligible for the loan forgiveness program. The enabling language should be included in the loan forgiveness provisions of Title IV (see Title IV above).

V. TITLE VI--INTERNATIONAL EDUCATION PROGRAMS

Congress recognized that the economic security of this country depended, in large part, upon the provision of educational opportunities for students in international and foreign language study programs. To this end, the general purposes enumerated in Title VI included assistance for international study and the development of

knowledge. In the development of Title VI provisions, however, Congress often failed to include the specific eligibility of Hispanic Americans for international education programs. As a means to correct this oversight, the following language should be included throughout the provisions of Title VI, where applicable:

A. Section 621(a) should be amended to include Hispanic Americans in the efforts to increase underrepresented minorities in international service.

Sec. 621. MINORITY FOREIGN SERVICE PROFESSIONAL DEVELOPMENT PROGRAM.

(a) Establishment.—The Secretary is authorized to award a grant, on a competitive basis, to an eligible recipient to enable such recipient to establish an Institute for International Public Policy (hereafter in this part referred to as the "Institute"). The Institute shall conduct a program to significantly increase the numbers of African Americans, *Hispanic Americans*, and other underrepresented minorities in the international service, including private international voluntary organizations and the foreign service of the United States. Such program shall include a program for such students to study abroad in their junior year, fellowships for graduate study, internships, intensive academic programs such as summer institutes, or intensive language training.

B. The definition of an eligible recipient under Section 621(b)(1) should also be broadened. To achieve this result, two amendments to this section ought to be added including:

1. A specific reference to "part C institutions" of Title III; and

2. The inclusion of "Hispanic Americans" as a specific minority student population to be served.

The recommended changes to Section 621(b)(1) are summarized as follows:

(b) Definition of Eligible Recipient.—

(1) In General.—For the purpose of this part, the term "eligible recipient" means a consortium consisting of 1 or more of the following entities:

(A) An institution eligible for assistance under part B of title III of this Act.

(B) An institution eligible for assistance under part C of title III of this Act.

~~(B)~~(C) An institution of higher education, which serves substantial numbers of African American, *Hispanic American*, or other represented minority students.

~~(C)~~*(D)* An institution of higher education with programs in training foreign service professionals.

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VI. TITLE IX--GRADUATE PROGRAMS

Congress initiated several provisions in the HEA to meet its goal of fostering and supporting graduate and professional education. In particular, Part D of Title IX (Graduate Assistance in Areas of National Need), was intended "to sustain and enhance the capacity for teaching and research in areas of national need." One way to ensure that these general purposes are met is to provide a priority in funding in Section 944(a) of Part D to grant applicants for programs that enroll underrepresented students in graduate and professional programs and which recruit such students from HSIs and HBCUs. This recommendation is summarized as follows:

PART D--GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED

SEC. 944. CRITERIA FOR APPLICATIONS.

(a) SELECTION OF APPLICATIONS.--The Secretary shall make grants to academic departments and programs of institutions of higher education on the basis of applications submitted in accordance with subsection (b). Applications shall be ranked on program quality by geographically balanced review panels of national recognized scholars. ***Priority will be accorded to applicants that enroll underrepresented students in graduate and professional programs and which recruit such students from Hispanic-Serving Institutions and Historically Black Colleges and Universities.*** To the extent possible (consistent with other provisions of this section), the Secretary shall make awards that are consistent with recommendations of the review panels.

CONCLUSION

HACU would appreciate full consideration by Congress of each recommendation included in this document. As stated in the introductory comments, this document does not provide an exhaustive listing of recommended changes to the HEA. Instead, it highlights many of the issues raised by HSI representatives who attended any of the HACU-sponsored activities relating to the HEA reauthorization. At least to this extent, this document provides an accurate inventory of issues and concerns raised throughout this process.

Space limitations do not permit the inclusion of either the underlying rationale or the research generated in support of these recomendations. HACU, however, is fully prepared to substantiate any of the recommendations includeded in this document upon request.

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Antonio R. Flores, *Ex-Officio, HACU President*

The CHAIRMAN. With that, I will bring the hearing to a close. Thank you all for very helpful and useful testimony.
[Whereupon, at 11:31, the committee was adjourned.]

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